

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Number: 09/814,243
Applicant: EDMUND H. LOUIE
Filed: 03/21/2001
For: SYNDICATION LOAN ADMINISTRATION AND
PROCESSING SYSTEM
TC/Art Unit 3624
Confirmation No.: 2002
Examiner: HANI M. KAZIMI

DECLARATION OF EDMUND H. LOUIE UNDER 37C.F.R. § 1.131

I, Edmund Louie, declare:

1. I am over twenty-one years of age and make this Declaration in support of the above captioned application of which I am the inventor.

2. I am a graduate of Columbia University with a B. S. degree in Computer Science, awarded in 1984. I also have the following post graduate degrees and training: M.S. Degree in Computer Science from Columbia University, awarded in 1988.

3. I am currently Vice President of JPMorgan Chase Bank ["JPMC"], in its Central Technology & Operations organization and am responsible for the Client Central application. My office address is 1 Chase Manhattan Plaza, Floor 18, New York, NY 10005-1401. I have been employed by JPMC and its predecessors since 1984. I was appointed Vice President in 1997.

4. Since at least 1984, I have been involved in developing computer systems for financial purposes.

5. In response to an Official Action dated 3/30/2006 issued by the United States Patent & Trademark Office ("PTO"), I have reviewed JPMC records to determine the date upon which I conceived the invention which is the subject of the referenced Application and the date when I actually reduced the invention to practice. For the record, the present Application is now published as Pub. No. US 2001/0054022 A1 and names Michael Campbell as my co-inventor. In this Declaration, when I employ the first person singular,

such as in "I made the invention", that is for convenience and includes the work of my co-inventor, Mr. Campbell. It will be noted that, equally for convenience, the plural ("us", "we", "our") is also used and, as such, refers to myself and Mr. Campbell.

6. The purpose of this Declaration is to prove that I made my invention in the United States prior to the earliest possible effective filing date of Adams U.S. Patent No. 6,898,636 granted 5/24/2005 on an application filed 2/4/2000. The Adams Patent claims the benefit of U. S. Provisional application No. 60/118,633 filed 2/4/1999. Without conceding that date to be accurate or that the contents of that Provisional Application support the disclosure of the Adams Patent, for the purpose of this Declaration, my patent counsel has instructed me to assume that the 2/4/1999 provisional filing date is the "effective filing date" of Adams. The Adams Patent is entitled "METHODS AND SYSTEMS FOR INTERCHANGING DOCUMENTS BETWEEN A SENDER, A SERVER AND A RECEIVER COMPUTER". The Adams Patent is the primary reference cited by the Examiner in the Office Action to reject all claims of this application were rejected under 35 U.S.C. § 103.

7. I am informed that "conception" of an invention means the mental part of the inventive act and that "actual reduction to practice" basically means when the conceived invention is first transformed into a workable program, method or device which actually achieves the resolution of the technical problems which the concept was devised to solve. I understand the latter does not require a commercial product, but rather a reduction to practice which fundamentally achieves the desired goals of the invention, even though subsequent improvements are almost always needed to get to the full, commercially acceptable stage.

8. The background of the present invention can be summarized as follows. During the period prior to 1997, Chase Manhattan Bank ["CMB"], a predecessor of JPMC, was heavily involved in loan syndication. The computer program employed for this purpose, called "Agent Plus", was developed by CMB about 1984. During the 1990s, after CMB became part of JPMC, the loan syndication businesses continued to grow. JPMC thus decided that major improvements were needed in order to expedite and manage its rapidly growing loan syndication transactions which by then often involved syndicating large numbers of financial institutions.

9. Hence, a decision was made by JPMC to develop improvements to resolve the technical problems experienced with the original Agent Plus program. The goal was to develop the new Agent Plus in the form of a robust and fully scalable program designed to

support the needs of JPMC's Loan & Agency Services Group (LAS) and the Specialized Product Services Support Group (SPSS). It was a "mission critical" effort to develop a fast and workable program to support the administration and processing of syndicated credit facilities.

10. Within JPMC, our efforts to develop an improved Agent Plus was colloquially referred to as "Replatforming". The innovative effort was also called the "Big Bang" in April 1998 when I, as Project Manager of the Agent Plus Application Development Team, and John DeFreitas, Manager of the Network & Infrastructure Team, came to the decision that the upgrade of Agent Plus must go hand-in-hand with the upgrade to the infrastructure at JPMC in order to meet the operational goals of the new Agent Plus system.

11. The commercial system, as described in this pending patent application, took about two years--following April 1998--of development by us and members of the development team. The full commercial roll out occurred over the Memorial Day Weekend in the year 1999. However, as described herein, the actual reduction to practice of the invention as described and claimed in our application was substantially prior to that and was on **July 20, 1998**. [See ¶ 17 below.] This is before Adam's earliest possible date of 2/4/1999.

12. Without limitation, important aspects of our invention are summarized in our Pub. No. US 2001/0054022 at 0013-0018:

"Syndicate loan managers typically find it difficult to assemble a group of banks to collaborate on a single credit transaction. Once a group of lenders is assembled, it is further challenging to coordinate the group during the lifetime of the loan. The present market for syndicated loans demands greater sophistication and complexity, in addition to more capability and flexibility, than any present system can provide."

"It would be advantageous to any syndicate loan manager to have a tool to efficiently handle the demands of loan administration, while providing functionality for new possibilities of communication, including the Internet, in a single package. Presently, there is no known system that can deliver the needed functionality in a complete and efficient manner in a single package to handle the complexities and sophistication of these types of deals in their present form. Accordingly, there is a need for a multi-user

sophisticated syndicated loan management system which has high reliability, efficiency and accessibility.”

“SUMMARY OF THE INVENTION”

“It is an object of the present invention to provide a system and method for syndicate loan management and processing which overcomes the drawbacks of the prior art,” “Briefly stated, there is provided according to the present invention a loan syndication tracking and management system and method that provides a user with access to specific details related to a syndicated loan. The system and method coordinates investor, borrower and resource information, in addition to features related to the overall structure of a syndicated loan. Users access the system with various levels of permissions to view, add, update or delete information according to their allotted permissions. The system permits multiple users to access the information for efficient handling of approvals and requests related to multiple investors and borrowers, in addition to handling institution interchanges. The system and method keeps a record of all transactions and changes for review, auditing, reporting or regulatory purposes. The structure of a syndicated loan transaction is simplified, and the transactions can be made with greater efficiency and ease.”

“According to an embodiment of the present invention, there is provided a loan management system comprising a first dataset related to a plurality of lenders, a second dataset related to at least one borrower and a third dataset related to a plurality of loan resources, A processing engine can access and manipulate the datasets, while a user interface permits a user to access and provide commands to the processing engine. The commands provided by the user permits access and manipulation of the datasets, The datasets can be manipulated to record and track information related to a loan composed of at least a portion of the plurality of loan resources provided by the plurality of lenders to at least one borrower.”

“The lenders, or investors, have access to a number of financial resources, such as negotiable instruments, promissory notes and the like. suitable for allocation to a borrower loan, A financial resource is typically referred to as a facility. Each investor can contribute a share of the loan resources, for example a pro-rata share, in addition to absorbing a portion of the liability and tax burdens of the loan. Each investor similarly receives a share of the proceeds of the loan repayment. Typically, there is one investor that acts as the lead lender for the deal, generally providing a larger proportion of the loan funding. The system and method according to the present invention permits a lead lender, for example, to track the assets of the loan, payment schedules, pro-rata shares in the loan of all the participating investors, contacts for the various investors and borrowers and generate reports for distribution among the various members of the transaction.”

13. The new Agent Plus program worked essentially flawlessly from the initial tests. The new Agent Plus system was successfully tested using code I wrote at least as early as December 1997. I had the code working well enough to start experiments with our invention at least as early as July 1998 on JPMC computers. I was able to run the program in a fully workable manner, *i.e.*, to actual reduction to practice, from that time on. To show this, I am attaching the following Exhibits and attendant explanation of events.

- Exhibit 1 is detailed project plan of the Agent Plus Replatforming Project from inception to implementation. I affirm that all actual start and end dates appearing in columns E and F of Exhibit 1 are accurate. This project plan was last modified on June 28, 1999.
 - Row 217 records the date that software development on the project started – December 8, 1997.
 - Row 294 records the date that initial testing of the new application started – July 20, 1998.
 - Row 307 records the date that user acceptance testing of the new application started – November 5, 1998.

- Exhibit 2 is a detailed test script for Pre-User Acceptance testing of the replatformed Agent Plus that was conducted in July of 1998. This script document was last revised on July 22, 1998.
- Exhibit 3 is the User Acceptance Test Schedule that was held from November 5 through November 20, 1998. This schedule was last revised on October 21, 1998.
- Exhibit 4 is an official memo from the General Audit Department dated May 25, 1999 giving the approval to implement the Agent Plus Replatforming Project into Production.
- All exhibits were retrieved from network drives of JPMC computers located at 1 Chase Manhattan Plaza.

14. The invention solved the following technical problems we faced with the original Agent Plus system:

- Replacement of a non-Y2K compliant user front end (Oracle Forms 3.0) to a Y2K compliant & robust user front end (Microsoft Visual Basic 4.0).
- Replacement of a 2-tiered architectural application with limited scalability to an n-tiered highly scalable architectural application to meet the demands of JPMC's loan syndications business.
- Enhance Agent Plus from a standalone application to a robust application with new inbound and outbound interfaces to increase data quality and data integrity of the Agent Plus application.
- Replacement of an antiquated DOS-based reporting system with a robust and scalable reporting engine using Oracle Reports 3.0.

15. On May 31, 1999 the above invention, still called the "*Agent Plus*" Replatforming Initiative, was successfully placed into the JPMC commercial computer system. It was installed hand-in-hand with a massive hardware and network infrastructure upgrade at JPMC.

16. Our new program was well-received by JPMC management. For example, David Goldberg, Managing Director of Global Credit Capital & Asset Management said at the time, "This is the culmination of a two year effort to upgrade our Agency platform to retain our technological edge and to continue our leadership position as the #1 Agent Bank, servicing over 1600 syndicated credit facilities representing over \$600 Billion in global commitments."

The deployment of a completely new 3-tiered client/server version of the Agent Plus application runs under Windows NT. The new Agent Plus software according to our invention includes:

- A host of significant processing enhancements to maintain a state of the art processing environment and to provide much needed flexibility to service new complex credit arrangements and derivative products. Refer to Exhibit #5 for a list of new functionality delivered as part of the Agent Plus Replatforming project.
- A far more intuitive user interface which greatly enhanced the efficiency of the agency staff, allows for continued process improvement, and the ability to “fund” growth through technological enhancement. Refer to Exhibit #5 for a list of new functionality delivered as part of the Agent Plus Replatforming project.

17. Since my invention worked fully and completely to achieve the goals outlined which are described in our pending Patent Application and the claims at least as early as **July 1998**, I am advised by our Patent Attorneys that that date is the date of my actual reduction to practice and is earlier than the so-called effective date of the Adams Patent such that the Examiner must, under the PTO Rules, remove Adams as a reference against our Application.

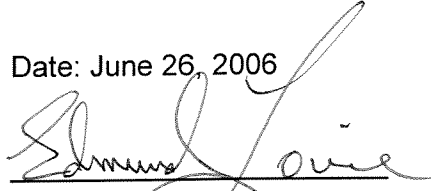
18. Pursuant to the instructions of our Patent Department my invention materials were sent to our Patent Attorneys with directions to file a Patent Application for my invention and, accordingly, our Provisional U. S. Patent Application was prepared and filed for our invention and filed in the PTO on March 24, 2000. That Provisional U. S. Patent Application is claimed for priority in my above pending Patent Application, which was filed on March 21, 2001. The pending Patent Application contains the information set forth in Provisional U. S. Patent Application SN 284,940.

19. All of the aforementioned acts I have described establishing the actual reduction to practice date were carried out in the United States.

I further declare that all statements made herein are based on personal knowledge or upon information and belief and are believed to be true; and further that the statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code

and that such willful false statements may jeopardize the validity of the above-identified application or any patent issuing thereon.

Date: June 26, 2006

A handwritten signature in cursive script, appearing to read "Edmund Louie", written over a horizontal line.

Edmund Louie

Louie-131dec.doc

EXHIBIT 1

Agent Plus Replatforming Initiative - Detailed Project Plan

	A	B	C	D	E	F	G	H
	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1	REPLATFORMING+							
2	Technology Training							
3	Introduction to Oracle7	Louie	04/15/97	04/18/97	04/15/97	04/18/97	Completed	
4		A+ Dev Team & CLR Arch/Dev Team						
5	Demo of Exposure Inquiry, RMS, CA, TI; Overview of CMS 's 3-tier architecture	A+ Dev Team & CLR Arch/Dev Team	05/06/97	05/06/97	05/06/97	05/06/97	Completed	5/6: Ball gave a history of CLR, overview of CLR architecture, and demo of CMS.
6	Discuss tool set to be used/ workstation setup/ development environment setup/ server environment setup/ UAT & QA environment setup	A+ Dev Team & CLR Arch/Dev Team						5/8: The schematic of how 3-tier model would look for the replatformed A+ environment was discussed at length. Documentation will be forthcoming.
7	Discuss GUI standards, server development standards, naming standards.	A+ Dev Team & CLR Arch/Dev Team	05/08/97	05/08/97	05/08/97	05/08/97	Completed	Reviewed the documentation of the proposed 3-tier model of the Agent Plus System; discussed tool sets and resources; standards documentation was distributed; demo of CA v1.2
8	Brainstorming session to decide the "look and feel" of the replatformed Agent Plus	A+ Dev Team & CLR Arch/Dev Team	05/15/97	05/15/97	05/15/97	05/15/97	Completed	5/15: Gave the VB developers of CLR a demo of the Agent Plus system. Came up with an overall look and feel consistent to CMS/CA/RMS. Further discussed the development environment and planned out next steps.
9	Advanced Visual Basic 4.0	Louie, Tsang	06/02/97	06/04/97	06/02/97	06/04/97	Completed	Topics covered: Database access, Crystal Reports, DLLs, and OLE.
10	Object Oriented Design	Cronin	06/05/97	06/06/97	06/05/97	06/05/97	Completed	6/5: Chubb Institute class was canceled. Took the 1-day OO class given to the ITAPers. Cronin took the place of Tsang who couldn't make it.
11	VBITS (Visual Basic 5.0) Conference	Louie	06/23/97	06/25/97	06/23/97	06/25/97	Completed	
12	Programming in C++	Cronin	06/23/97	06/27/97	06/23/97	06/27/97	Completed	Class from Chubb Institute; their is an equivalent class in-house but not in the time frame that this training is needed.
13	Assign Roles to Development Team	Louie	05/06/97	05/16/97	05/06/97	07/11/97	Completed	5/16: A+ GUI DevTeam: Louie, Tsang, ??, ??, CLR GUI Dev Mentor Team: Daab, Rubino, Loughton. A+ App Server DevTeam: Govindraj, Cronin, ??, ??, CLR App Server Dev Mentor Team: Rodricks, Gevaza.
14	Oracle7 Database Administration and Tuning	Louie	07/14/97	07/18/97	07/14/97	07/18/97	Completed	
15	Introduction to Oracle	Berin	09/23/97	09/26/97	09/23/97	09/26/97	Completed	
16	Unix System Fundamentals and Shell Programming	Louie	10/20/97	10/24/97			Canceled	
17	System and Structured Testing	Tsang	06/08/98	06/09/98	06/08/98	06/09/98	Completed	
18	VBITS '98 Conference	Narayanan, Tsang	06/22/98	06/24/98	06/22/98	06/24/98	Completed	
19	Information Mapping: Analyzing, Organizing, and Presenting Information	Borkenstein	06/22/98	06/24/98	06/22/98	06/24/98	Completed	
20	Technical demonstration of Agent Plus Replatforming Project to other Client/Server Development areas.	Louie	09/01/98	09/30/98	09/11/98	09/18/98	Completed	Attendees: Lewis, Campbell, McClellan, Ball, Thieroff, Kandasamy, Solomon, Borkenstein, Sini, Hari, Cronin, Arup, Belden.
21	Visual Basic 5.0, Intermediate	Berin	02/17/99	02/19/99	02/17/99	02/19/99	Completed	2/10/99: class confirmed. 2/16/99: Val out sick, Tom Sung will go in his place.

Agent Plus Replatforming Initiative - Detailed Project Plan

	A	B	C	D	E	F	G	H
1	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
22	Oracle 7, Advanced Administration	Sung	01/01/99	01/31/99			Canceled	12/14/98: On the wait list (#13) to receive the self-study materials.
23	Oracle 7, Basic Administration	Sung	01/01/99	01/31/99			Canceled	12/14/98: On the wait list (#13) to receive the self-study materials.
24	Oracle 7, Database Administration	Sung	03/08/99	03/12/99			Canceled	2/1/99: class confirmed. 3/8/99: class canceled w/o notification.
25	Resource Allocation							
26	Visual Basic Lead Developer	Louie	07/17/97	08/01/97	07/17/97	08/26/97	Completed	8/29: Consultant Narayanan Venkataraman will be joining the A+ GUI Development Team on 9/8. Johnny Tsang from the ITAP program will be a permanent member of the A+ Development Team starting 9/22.
27	Visual Basic Developer	Louie	07/17/97	08/01/97	07/17/97	09/22/98	Completed	8/29: Johnny Tsang from the ITAP program will be a permanent member of the A+ Development Team starting 9/22.
28	Visual C++ Developer	Louie	07/17/97	08/01/97	07/17/97	09/15/97	Completed	8/29: Consultant Olga Marcus from CFCS & PMVS will be joining the A+ App Server Development Team on 9/15.
29	Production Support & Backup Oracle DBA	Louie	07/17/97	08/01/97	07/17/97	09/15/97	Completed	8/29: Employee Val Berin from CFCS & PMVS will be trained on Oracle RDBMS, SQL, PL/SQL to provide production application and backup oracle dba support.
30	Visual C++ Developer	Louie	01/26/98	02/28/98	01/26/98	02/06/98	Completed	2/6/98: Consultant Sanjay Mittal from CLR joined the A+ App Server Development Team.
31	Visual Basic Developer	Louie	01/28/98	02/28/98	01/28/98	03/13/98	Completed	3/6/98: Consultant Avinash Mehra will be joining the GUI Development Team on 3/13/98.
32	Business/System Liason	Louie	05/07/98	05/31/98	05/07/98	05/12/98	Completed	5/11/98: Anita Borkenstein will be joining the Application Development Team as a Business/System liason starting 5/12/98.
33	Visual Basic Lead Developer	Louie, VB Dev Team	07/21/98	08/03/98	07/21/98	08/19/98	Completed	7/21/98: Narayanan Venkataraman gave 2 week notice (moving to upstate NY). 7/29/98: Chinnam Srinivasan Rao will be joining the VB Development Team on 8/19/98.
34	Visual Basic Developer	Louie, VB Dev Team	07/21/98	08/03/98	07/21/98	08/17/98	Completed	7/29/98: Umamaheswara Rao will be joining the VB Development Team on 8/17/98. Got him as a result of looking for the VB lead developer.
35	Oracle Forms 3.0/Visual C++Developer	Louie, App Server Team	08/10/98	08/31/98	08/06/98	08/31/98	Completed	8/14/98: Deepak Verma will be joining the App Server Team on 8/31/98.
36	Visual C++Developer	Louie, App Server Team	08/10/98	08/31/98	08/06/98	09/16/98	In Progress	8/14/98: Olga will move from CFCS responsibilities to become 95% on App Server team starting 9/14/98.
37	Visual Basic Lead Developer Replacement	Louie, VB Dev Team,	11/03/98	11/30/98	11/03/98	11/04/98	Completed	11/3/98: Sridi gave notice (company sponsoring green card), last day is 11/20/98. Johnny will be assuming the lead VB developer role effective immediately.
38	Oracle DBA	Louie	11/10/98	11/30/98	11/10/98	12/07/98	Completed	11/16/98: Tom Sung from Chubb Computer Services will be joining the team as backup Oracle DBA starting 12/7/98.

Agent Plus Replatforming Initiative - Detailed Project Plan

A		B	C	D	E	F	G	H
	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1								
39	Visual Basic Developer to replace Avinash Mehra	Louie, GUI Team	12/07/98	12/31/98	12/07/98	12/28/98	Completed	12/4/98: Avinash notified the vendor of his resignation (project leadership role with work in India). Last day is 12/18/98. Makarand Bhavne from Focal Software will be joining the GUI Team on 1/1/99.
								11/30/98: enlisted help from Keith Rodricks to find a C++ developer with SQL and Oracle. 12/23/98: will meet with C. DeFelice on 1/4/99 for possibility of borrowing resources. 1/5/99: Debbie Sutter & Adam Dorn from C DeFelice's group will be allocated to help us on Replatforming for the afternoon portion of the day from 1/1/99 to 3/31/99. 2/25/99: After finishing the Memo component, Adam was allowed to return full time to Joe Aboulafia. 3/15/99: After finishing Reference Bank Change and Tax Document Components, Debbie was allowed to return full time to Joe Aboulafia.
40	Visual C++ Developer	Louie, App Server Team	11/30/98	12/31/98	11/30/98	01/07/99	Completed	1/15/99: Subburaman Sankaran to join the App Server Team on 2/1/99.
41	Visual C++ Developer	Louie, App Server Team	01/1/99	01/31/99	01/11/99	02/01/99	Completed	The GUI team has been a 3-person team since Srinu left 11/20/98. The App Server Team meanwhile has 5 + 2 part time resources. GUI team needs an additional resource to get to March 31 deadline. 2/24/99: Sadhana Jayaraman from Focal Software will be joining the VB team on 3/1/99.
42	Visual Basic Developer	Louie, GUI Team	02/19/99	03/01/99	02/19/99	03/01/99	Completed	11/20/98: The App Server Team will bring the VB team to 5 developers.
43	Visual Basic Developer	Louie, GUI Team	02/19/99	03/05/99	02/19/99	03/19/99	Completed	3/22/99: Tom Sung of Chubb gave notice. Last day will be April 9, 1999. 4/15/99: Deepak Verma will assume backup DBA duties.
44	Oracle DBA (Backup)	Louie	04/01/99	06/01/99	04/01/99	06/01/99	Completed	
45	Development Environment Setup							
46	Network Related							
47	Meeting to discuss workstation setup for developers at 1CMP/8	Louie, DeFreitas, Ball, Gary	05/19/97	05/19/97	05/19/97	05/19/97	Completed	5/14: Development will be done at 1CMP/8 as opposed to 4NYP. This meeting is to discuss setup of development environment at 1CMP/8. 5/22: Proposed environment has been documented.
48	For Dev Team at 1CMP/8, activate CD Rom drive & install Windows NT Workstation 4.0 and provide dual boot capability between Windows NT and Windows 3.1; setup a developer workgroup in Windows NT that has access to shared drives.	DeFreitas	05/19/97	05/23/97	05/23/97	06/04/97	Completed	5/23: Tsang, Govindraj, Cronin's machine have dual boot capability to NT 4.0. 5/29: Replaced System card on Louie's machine. 6/4: Louie's machine setup for NT.
49	For Dev Team at 1CMP/8, install under Windows NT: VB Enterprise Edition 4.0, Service Pack 1 for VB 4.0, Visual C++, Source Safe, Spread OCX, Snagit, Microsoft Office, Crystal Reports, WinZip, Notes (?)	Govindraj	06/02/97	06/06/97	06/02/97	06/12/97	Completed	6/12: VB and Exposure Inquiry software installed.
50	Determine Directory Structure for installing software on the network.	Louie, Govindraj	08/19/97	08/22/97	08/29/97	08/29/97	Completed	8/29: All development software will be stored on the h:\ directory and will follow the recommended sub directory name at time of installation.

Agent Plus Replatforming Initiative - Detailed Project Plan

	A	B	C	D	E	F	G	H
	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1	Determine Directory Structure for installing application software on the network using Source Safe	Govindraj, Narayanan	11/01/97	11/30/97	11/17/97	12/01/97	Completed	12/1: SourceSafe directory structure is published in the Standards document.
51								12/21: a list of issues was given over to DeFreitas;
52	Ensure Development environment adequately supports development	Development Team, DeFreitas	10/29/97	11/07/97	10/29/97	05/11/98	Completed	12/23/97: with K Laughton leaving dev strategy was reassessed - we will follow CMS EI model using VB5 to create a 32-bit app to be run in NT.
53	On the bootup of NT, all developers are getting a Stack Fault error. At certain times the error occurs again when an application (eg. Excel) is starts forcing developer to reboot.	DeFreitas	12/01/97	12/31/97	04/06/98	05/11/98	Completed	12/4: Seems to be a Banyan issue, a TAR has been opened up; however, Jas' people who have NT do not have this problem.
54	Need to install Service Pack 3 for NT 4.0; this service pack could be downloaded from the Web. NT 32-bit SNA client does not establish a session with the NT 32-bit SNA Server.	DeFreitas	12/10/97	12/31/97	04/06/98	05/11/98	Completed	
55								1/30/98: Looked at hardrive or every developer and determined what can be installed on network and what can be installed locally. Info was sent to JD. 4/6/98: Setup of NT development environment started. 5/11/98: NT development environment implemented.
56	The decision to go to a 32-bit app allows us now to look at what can be set as a Developer's Group in the NT environment.	DeFreitas, Louie	01/16/98	01/20/98	01/16/98	05/11/98	Completed	Replatform developers totally on NT with additional harddrive and 64 RAM. All other developers got a dual boot environment.
57	Sourcesafe setup for Replatforming source code and related documentation for developers.	DeFreitas, Mittal	01/01/97	01/30/98	04/06/98	07/31/98	Completed	Because Sourcesafe requires long file names, cannot install sourcesafe until Banyan upgrade to v8.5 scheduled for 6/98. 7/15/98: product installed. 7/23/98: need network space in order to use product. 7/31/98: Sanjay completed setup.
58	Implement Legato backup file server system to backup network directories and database servers. Legatto allows for retrieval of specific directories and tables.	DeFreitas, Xia	06/16/98	07/30/98	06/16/98	11/01/98	Completed	Lost access to our dev directory (h:\ drive) as a result of the Banyan v8.5 upgrade from 6/15/98 to 6/19/98. Legato to be implemented wk of 6/22/98. 8/7/98: mtg to be held next wk with Box-Ill. 9/17/98: testing Legatto on ultra4 scheduled for 9/23.
59								7/2/98: George B from CS&A Strategic Planning came over to look at Hari and Sanjay's NT problems and made recommendations. Sanjay's machine restored on 7/8/98. 7/22/98: half-day mtg with new NT Admin, Maria R. prioritized problems to be fixed.
60	Re-review the adequacy of the NT environment setup for the developers; specifically a separate NT group should be created - one for development, one for QA/UAT; one for production; relook at the image needed for developer on NT.	Campbell, DeFreitas, Louie	07/02/98	07/31/98	07/02/98	10/10/98	Completed	9/17/98: developers and Maria have worked together to build a new image. Image will be rolled out to developers starting week of 9/21. 10/8/98: 9 out of 12 developers migrated to total NT with new image.
61	Install Oracle 8 Products and communications software to Oracle database. (Database Development group will be upgraded from Oracle 7 to Oracle 8).	NT Admin, Guha	07/21/98	07/22/98	07/24/98	08/05/98	Completed	8/5/98: Oracle 8 products installed on one workstation to be tested by App Server team. 9/17/98: Oracle 8 products have been tested on the new image for developers. These products will not be accessible to the business users.
62	Front End							

Agent Plus Replatforming Initiative - Detailed Project Plan

A			B		C	D	E	F	G	H
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63	Procure Visual Studio '97 (includes VB 5.0; Visual C++ 5.0; Visual Fox Pro; Visual Interdev; Visual J++, Visual Source Safe)	DeFreitas	08/06/97	08/15/97	08/06/97	08/19/97	Completed			
64	ProcureCrystal Reports 5.0	DeFreitas	08/06/97	08/15/97	08/06/97	08/19/97	Completed			
65	Procure Help Magician	DeFreitas	08/06/97	08/15/97	08/06/97	08/19/97	Completed			
66	Procure Spread Control	DeFreitas	08/06/97	08/15/97	08/06/97	08/19/97	Completed			
67	Procure FarPoint InputPro 2.0; ListPro 2.0; TabPro 2.0 (3 copies)	DeFreitas	01/08/98	01/31/98		12/31/97	Completed			
68	Investigate code analysis and debugging tools for VB	Louie	06/15/98	06/30/98	07/02/98	09/17/98	Completed	7/2/98: Won VBAdvantage from VBITS '98 conference - product has a debugging tool. Under evaluation. 9/17/98: procured Numega DevPartner Studio 6.0 for VB and VC++ debugging.		
69	Investigate online help tools	Louie	06/15/98	08/01/98	09/18/98		Deferred	6/24/98: contacted Doug Solomon and he informed me what products he is using for Reporting, Problem Tracking, & online help. Will need to schedule a mtg with him.		
70	Investigate reporting tools	Louie	06/15/98	08/01/98	09/18/98	12/09/98	In Progress	10/14/98: met with Scott McClellan for demo of impropriu Web Reporter. 11/2/98: met with Chris Yee of Oracle. Claims Oracle Reports will do the job. 11/25/98: met with Yee for detailed architecture. 12/9/98: technical mtg, decided to use Oracle Reports 3.0; received software & proof of concept will be done in 12/98 by Deepak.		
71	Investigate Problem Tracking tools	Louie	06/15/98	08/01/98	09/18/98	10/21/98	Completed	7/2/98: Will evaluate Microsoft Anamoly that comes with Visual Studio '97. 9/29/98: Defect Tracking Lotus Notes DB developed by Barocas will be used - need connectivity to DB. 10/21/98: able to use Problem Tracking DB on Planters.		
72	Investigate Application Software installation tools and procedures	Louie	06/15/98	08/01/98	09/16/98		Deferred	9/16/98: initial mtg with Srini and Hari to review different installation procedures.		
73	Ensure Application works in a Windows 95/98 platform	GUI Development Team	12/22/98	01/04/99	12/22/98	03/01/99	Completed	12/22/98: New A+ functioning under Windosw 95. Releasing of FT to be tested. 1/5/99: app to be tested in Win98 platform. 3/1/99: confirmed that release of FT downloaded file to c:\cbftp.		
74	Application Server									
75	Install App Server Software on Barbara's workstation	Govindraj	08/12/97	08/19/97	08/13/97	08/13/97	Completed	Received Programmer 2000 on 8/8 but version was for Oracle v8.		
76	Procure Programmer 2000 for Oracle RDBMS 7.3.3 (includes Pro*C 2.2.3 for Windows NT for C++ 4.2)	DeFreitas	08/06/97	08/15/97	08/06/97	08/19/97	Completed			
77	Procure Oracle RDBMS v7.3.3 (which includes SQL*Net 2.3.3; SQL*Plus 3.3.3; PL/SQL 2.3.3)	DeFreitas	08/06/97	08/15/97	08/06/97	08/19/97	Completed			
78	Install SQL*Plus 3.3.3; PL/SQL 2.3.3; Pro*C 2.2.3 in Software ("L") directory	Govindraj	09/02/97	09/05/97	08/20/97	10/08/97	Completed			
79	Test Pro*C v2.2.3 compiler (dependent on Programmer 2000 procurement)	Govindraj	09/02/97	09/05/97	08/20/97	10/08/97	Completed			
80	Test SQL*Net v2.3.3 (dependent on Oracle RDBMS 7.3.3 procurement)	Govindraj	09/02/97	09/05/97	08/20/97	10/08/97	Completed			
81	Install and Test ODBC Driver to Oracle v7.3.3	Govindraj	09/02/97	09/05/97	08/20/97	10/08/97	Completed			

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82	Determine configuration and hardware needed for App Server machine.	DeFreitas, Louie, Govindraj	05/07/98	05/12/98	05/07/98	05/12/98	Completed	5/12/98: John, Hari, and Edmund met with Don Buckley to determine configuration and hardware needed for the App Server.
83	Procure 3 Compaq Proliant 5500 machines to serve as the App Server for production, backup/DR, and UAT.	DeFreitas	05/11/98	07/30/98	05/11/98	09/30/98	Completed	9/11/98: purchase order for hardware has been approved. 9/30/98: 3 app servers arrived.
84	Need App Server v6.0 (32-bit version of the Transport API)	Rodricks, Gevaza			05/29/98	04/19/99	Completed	5/29/98: this version will be tested to check the Change Password problem 7/2/98: according to Keith and Mike 5.0 is currently in test mode to be implemented in mid-July. 11/30/98: will be installing App Server 6.0 once Drawdown end-to-end is complete. 2/1/99: App Server 6.0 installed, problems encountered (update operations not working, asynchronous server not working, admin tool currently being worked) - K Rodricks working on the problems. Only Sanja's machine has App Server 6.0. 3/1/99: Recordset problems fixed by Keith.
85	Investigate code analysis and debugging tools for C++	Louie	06/15/98	06/30/98	09/02/98	09/18/98	Completed	9/17/98: procured Numega DevPartner Studio 6.0 for VB and VC++ debugging.
86	Investigate testing tools for load/stress/performance monitoring	Louie	06/15/98	06/30/98	09/18/98	10/19/98	Completed	6/26/98: CS&A has 500 virtual licenses for Mercury Interactive's LoadRunner. Phil Pace will be making an eval and pilot use for CA. 9/29/98: met with Thieroff; will setup a vendor mtg. 10/14/98: met with vendor; due to length of time needed to be trained on product, we will not be using Load Runner 5.0 and WinRunner 5.0 at this time. May be able to leverage Frank Thieroff's QA group to do this activity.
87	Investigate document tracking tools	Louie	09/01/98	12/31/98			On Hold	
88	Investigate workflow tools	Louie	09/01/98	12/31/98	09/18/98	09/23/98	Completed	9/23/98: met with Rob Barocas; demo of Picasso. A+ will be kept in the loop.
89	Database							
90	Procure Oracle RDBMS v7.3.3	DeFreitas	07/14/97	07/31/97	08/06/97	08/19/97	Completed	
91	Procure New Database Server (Ultra Sparc)	DeFreitas	07/14/97	08/29/97	07/14/97	09/22/97	Completed	
92	Install Oracle RDBMS v7.3.3 in dev/shared directory	Govindraj	09/02/97	09/05/97	09/02/97	09/05/97	Completed	
93	Database Server (Unit Test Environment Setup - Chaseora1)							7/29/98: chaseora1 de-commissioned for Agent Plus development use. Will be used for CP application.
94	Update Entity Relationship Diagram using ERwin	Guha	08/20/97	08/21/97	08/20/97	08/21/97	Completed	
95	Upgrade OS and install patches	Guha	08/25/97	08/26/97	08/25/97	08/26/97	Completed	
96	Prepare database creation scripts	Guha	08/27/97	08/29/97	08/27/97	08/29/97	Completed	
97	Create and configure database	Guha	09/02/97	09/11/97	09/09/97	09/09/97	Completed	During this period, the involvement shall also be in assisting the SUN Engineer to configure the new box and replace it with chaseultra1.
98	Develop a script that shall select deal related data from the concerned Agent+ tables in production and insert them into chaseora1	Cronin/ Guha	08/22/97	08/22/97	08/22/97	08/22/97	Completed	
99	Export deals from Production and Import into chaseora1	Guha	09/12/97	09/12/97	09/12/97	09/12/97	Completed	
100	Finalize primary keys and integrity constraints	Cronin, Govindraj, Guha						10/20: in order for Replatformed A+ & current A+ to coexist, database will remain as v7.2.3 with no referential integrity.
101	Database Server (Development Environment)		09/10/97	09/10/97	09/10/97	09/30/97	Completed	

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1	Revisions to Chaseora1	Guha	11/03/97	11/07/97	11/03/97	11/07/97	Completed	
102	Install OS and patches in ChaseUltra4 (New Server)	John D.	11/24/97	11/25/97	11/24/97	11/25/97	Completed	
104	Install Oracle	Guha	11/26/97	11/26/97	11/26/97	11/26/97	Completed	
105	Modify database creation scripts to suit the development, training and QA environments	Guha	11/28/97	11/28/97	11/28/97	11/28/97	Completed	
106	Create and configure database	Guha	12/01/97	12/04/97	12/01/97	12/31/97	Completed	12/5: Development database instance created
107	Populate 3 databases	Guha	12/05/97	12/05/97	12/05/97	12/31/97	Completed	12/5: Development database is populated with CALDOR Deal data.
108	Upgrade chaseultra4 to Solaris 2.6	Guha	04/01/98	04/30/98	04/01/98	04/14/98	Completed	FYI: 5/27/98: chaseultra1 upgraded to Solaris 2.6; 6/13/98: chaseultra1 upgraded to Solaris 2.6.
109	Upgrade DEVDB to Oracle RDBMS v8.0.4	Guha	05/26/98	06/15/98	06/01/98	06/10/98	Completed	6/10/98: devdb upgraded to Oracle v8.0.4.
110	Implement referential integrity in DEVDB	Guha	05/26/98	06/15/98	06/01/98	07/01/98	Completed	
111	QA Environment Setup							
112	Test Strategy and Test Plan							
113	Develop Test Strategy and Test Plan Document according to the Federal Financial Institutions Examination Council (FFIEC) guidelines on testing for Year 2000 readiness.	Louie, Borkenstein	06/15/98	06/30/98	06/16/98	06/30/98	Completed	
114	Network Related							
115	Meet with Infrastructure Team to review Banyan Vines setup for replatforming (discuss archiving also)	Network & Development Team	01/04/99	01/08/99	01/05/99	01/05/99	Completed	1/5/99: met with Ferrara, Rodriguez, Zhu, Govindraj, Borkenstein to discuss infrastructure setup at 4NYP. Details of how the application works with the network were discussed at length.
116	Create a network service/directory to hold the file that contains the IP address of the Application Server (xportapi.apr) and the Report Server.	Network & Development Team	01/04/99	01/31/99	01/05/99	02/01/99	Completed	2/5/98: Will need to coordinate with CMS EI to put AGENTAS in the VGSystems directory. Switching functions that use OSOTUNIT to AGENTAS not working - needs further investigation.
117	Ensure connectability of the SNA Server used in the test environment to the Onestop Test region CICS/MOAC. Since 11/98 using the RMS SNA Server at 5th Ave to get to CICS/MOAC.	Network & Development Team	01/04/99	01/31/99	01/05/99	04/01/99	Completed	
118	Create a service and a separate directory for transaction processing output: messages (lix), frans (imp), cistran (cls), reports (ft & rpt), error (err) accessible only to the App Servers (i.e., no user access).	Network & Development Team	01/04/99	01/31/99	01/05/99	02/03/99	Completed	
119	Create a service and a separate directory identical to the directories setup for transaction processing for the App Server and make it available to the user. These directories will contain archived activity files accessible by the user. Directory is search and read only for the end user.	Network & Development Team	01/04/99	01/31/99	01/04/99	03/22/99	Completed	
120	Develop a process where activities files in a certain status are moved out of the primary directory into an archive directory that the user has access to.	Network & Development Team	01/04/99	01/31/99			Deferred	
121	GUI Related							
122	App Server Related							
123	Database Related							

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124	Get GES and OTAP SignOn ids of Replatforming Committee members and sync up to store in QA environment	Louie	06/01/98	06/30/98	06/03/98	12/14/98	Completed	6/8/98: Pat Joseph agreed to change the GES userids to OTAP userids - just needs the list. 8/31/98: Don Hart assigned retrieval of this information to someone in his group. 10/21/98: request sent to Pat for managers and supervisors. 11/10/98: Pat will set up 10 additional test-ids for GES UAT access. 12/14/98: All users who had different userid/password for GES and OTAP are now synchronized. SPS users will be required to apply for GES access.
125	Upgrade UATDB to Oracle 8	Guha	08/01/98	08/31/98	07/01/98	07/20/98	Completed	7/20/98: uatdb upgraded to Oracle8.
126	Formulate and document database conversion for all Deal Management related tables.	Development Team	06/25/98	07/29/98	06/25/98	07/29/98	Completed	6/25/98: entire devteam met to rw changes to AP_CLIENTS. 7/21/98: reviewed ap_clients, ap_users, ap_ft_instructions, ap_deal_inv_group, ap_contacts.
127	Code and test database conversion software for AP_CLIENTS	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	7/23/98: rwd ap_fee_sched, ap_fee_hist, ap_facilities
128	Code and test database conversion software for AP_USERS	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	
129	Code and test database conversion software for AP_FT_INSTRUCTIONS	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	
130	Code and test database conversion software for AP_DEAL_INV_GROUP	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	
131	Code and test database conversion software for AP_CONTACTS	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	
132	Code and test database conversion software for AP_FEE_SCHED	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	
133	Code and test database conversion software for AP_FEE_HIST	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	
134	Code and test database conversion software for AP_FACILITIES	Cronin	08/03/98	08/31/98	08/03/98	10/23/98	Completed	
135	Code and test database conversion for transaction related tables (to be further defined)	Cronin, Govindraj, Guha	01/04/99	01/31/99	02/10/99	03/01/99	Completed	2/11/99: at this point, there are definitely constraints that have to be put in, but so far no data conversions to tables have been required.
136	Refresh UATDB with current production, & run conversion, add cron and MIS jobs to be run against UATDB	Guha, Sung, Cronin	01/13/99	01/15/99	01/13/99	02/06/99	Completed	Cron jobs are being tested; refresh of UATDB & TRGDB scheduled for 2/8/99. 2/9/99: refresh of UATDB and TRGDB with 2/6/99 production data completed.
137	Finalize and code table constraints	Guha, Sung, Cronin	01/13/99	01/15/99	01/13/99	04/30/99	Completed	
138	GUI Prototyping/ Screens & Edits Review							Minimum staffing requirements: 3 VB developers + 1 Lead VB Developer
139	Technical Documentation of related Forms	Tsang	04/23/97	04/30/97	04/23/97	04/30/97	Completed	4/30: Documentation is available for review.
140	Overall Look & Feel/Flow & Navigation							
141	Draft an overall navigation flow of replatformed Agent Plus	A+ GUI Dev Team	05/16/97	05/23/97	05/16/97	05/23/97	Completed	5/16: This draft will not show fields on GUI screens, but instead show how a user would navigate through the system.

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142	Review draft & finalize flow with CLR GUI Dev Mentor Team	A+ GUI DevTeam, CLR GUI Dev Mentor Team	05/27/97	05/30/97	05/27/97	05/27/97	Completed	5/27: The flow was reviewed; we all agreed the proposed flow was a good starting point and revisions will definitely occur. Need to set up a user committee to develop & shape the prototype - should start asap.
143	VB Development Setup & Setup Documentation	A+ GUI DevTeam, CLR GUI Dev Mentor Team	06/02/97	06/06/97	06/09/97	06/17/97	In Progress	6/9: Meeting held with CLR GUI Mentors on 6/9. 6/17: Exposure Inquiry 4.0 software was downloaded.
144	Deal Management							
145	Edit/Validation Documentation	Tsang	05/01/97	05/09/97	05/01/97	05/14/97	Completed	
146	Client Maintenance Screen Review - Part 1 (Kickoff) (Attendees: Belden, D'Orazio, Miklave, Potter, Hickey, Consomer, Thompson, Rebecca, Govindraj, Cronin, Tsang, Louie, DeFreitas) (Meeting #1)	Prototype Team	06/12/97	06/12/97	06/13/97	06/17/97	Completed	Mtg held on 6/13; Reviewed 75% of Client Maintenance Screen. Very good kickoff session! Documentation completed on 6/17 for review at next meeting.
147	Client Maintenance Screen Review - Part 2 (Attendees: D'Orazio, Miklave, Potter, Hickey, Consomer, Thompson, Rebecca, Govindraj, Cronin, Tsang, Louie, Connolly) (Meeting #2)	Prototype Team	06/19/97	06/19/97	06/19/97	07/03/97	Completed	Mtg held on 6/19 - finished review of Client Maintenance Screen. Next mtg tentative for 7/10 - not meeting for 2 wks due to eqp processing. Documentation sent on 7/3.
148	Demo of Deal/Borrower Prototype to Prototype Team; Screen Review: Borrower Contact (Attendees: Belden, D'Orazio, Miklave, Hart, Potter, Rebecca, Thompson, Cronin, Tsang, Louie, DeFreitas, Campbell, Connolly, Rubino) (Meeting #3)	Prototype Team	07/10/97	07/15/97	07/10/97	07/15/97	Completed	
149	Screen Review: Borrower F/T Instructions - Part 1 (Attendees: D'Orazio, Potter, Hickey, Rebecca, Thompson, Tsang, Louie, Govindraj) (Meeting #4)	Prototype Team	07/15/97	07/17/97	07/15/97	07/17/97	Completed	Recommendation was to have a rep from FTFC to give insight on what Agent Plus sends and how FTFC uses that information.
150	Screen Review: Borrower F/T Instructions - Part 2, Investor Group Selection, Investor Contact (Attendees: D'Orazio, Miklave, Potter, Hickey, Rebecca, Tsang, Louie, Govindraj, Gerardi) (Meeting #5)	Prototype Team	07/17/97	07/24/97	07/17/97	07/24/97	Completed	Cathy Gerardi from FTFC attended meeting and agreed to provide at the next meeting more detail of how A+ info is used in FTFC.
151	Screen Review: Borrower F/T Instructions - Part 3, Investor F/T Instructions (Attendees: Belden, D'Orazio, Potter, Hickey, Rebecca, Thompson, Tsang, Louie, Govindraj, DeFreitas, Gerardi) (Meeting #6)	Prototype Team	07/24/97	07/29/97	07/24/97	07/29/97	Completed	
152	Screen Review: Investor Contact, Borrower Contact, Managed Contact Groups (Attendees: Belden, D'Orazio, Potter, Hickey, Consomer, Thompson, Tsang, Louie, Govindraj, DeFreitas) (Meeting #7)	Prototype Team	07/29/97	07/31/97	07/29/97	07/31/97	Completed	
153	Prototype Initial Walkthru with CLR GUI Mentor Team (Attendees: Daab, Loughton, Rodricks, Mittal, Tsang, Louie)	Prototype Team	07/30/97	07/30/97	07/30/97	07/30/97	Completed	Discussed and reviewed overall look and feel of prototype as well as naming standards.
154	Screen Review: Facility Maintenance - Part 1 (Attendees: D'Orazio, Potter, Hart, Hickey, Consomer, Rebecca, Tsang, Louie, Govindraj, Cronin) (Meeting #8)	Prototype Team	07/31/97	08/05/97	07/31/97	08/05/97	Completed	Presented rules for Data Review; lots of discussion generated around dates on this screen.
155	Prototype Demo (Attendees: Belden, D'Orazio, Miklave, Potter, Hart, Hickey, Consomer, Rebecca, Louie, Govindraj, Tsang, Rubino, Arbor) (Meeting #9)	Prototype Team	08/05/97	08/05/97	08/06/97	08/06/97	Completed	8/4: Received assistance from CLR (Adam Arbor) in creating prototype demo for 8/6. Demo'd Deal List, Deal Info, Borrower Detail/FT Instructions/Contacts, Investor Group Select/Detail/FT Instructions, Contact, Contact Groups. 8/7: demo to Goldberg & Lewis

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1	Screen Review: Facility Maintenance - Part 2 (Attendees: Belden, Miklave, Potter, Hart, Hickey, Consomer, Rebecca, Thompson, Louie, Govindraj, Tsang, Cronin, Valentin, Gaynor) (Meeting #10)	Prototype Team	08/07/97	08/12/97	08/07/97	08/12/97	Completed	Invited Roxanne & Pedro to discuss GES issues. Mapped A+ facility dates to GES facility dates.
156	Screen Review: Facility Maintenance - Part 3 (Attendees: Belden, D'Orazio, Miklave, Hart, Hickey, Consomer, Rebecca, Louie, Govindraj, Cronin) (Meeting #11)	Prototype Team	08/12/97	08/14/97	08/12/97	08/15/97	Completed	Reviewed facility & commitment fees, LC info, pricing, and syndicate member info.
157	Screen Review: Borrower Fee Maintenance; Deal Review, Borrower Review, Investor Group Review (Attendees: Belden, Miklave, Potter, Hickey, Rebecca, Thompson, Tsang, Louie, Govindraj, Cronin) (Meeting #12)	Prototype Team	08/14/97	08/19/97	08/19/97	08/20/97	Completed	
158								6/30: reviewed Johnny's first cut at the screens. 7/10: initial raw screens presented to prototype team. 9/30: All of Deal Mgmt has been prototyped. A demo will be given once the prototype for Transaction Mgmt has also been completed.
159	Prototype Deal Management	GUI Dev Team	06/20/97	08/29/97	06/25/97	09/30/97	Completed	
160	Publish Edit Review Document for Deal Management	Tsang, Louie	06/20/97	08/29/97	06/20/97	09/30/97	Completed	
161	Transaction Management							
162	Screen Review: Event History; Drawdown - Part 1 (Attendees: Belden, Miklave, Potter, Hickey, Rebecca, Thompson, Tsang, Louie, Govindraj, Cronin, Coen, Dubno, Liang, Farrell) (Meeting #13)	Prototype Team	08/21/97	08/26/97	08/21/97	08/26/97	Completed	
163	Screen Review: Drawdown - Part 2 (Attendees: Belden, Miklave, Potter, Hart, Javier, Swales, Tsang, Louie, Govindraj, Cronin) (Meeting #14)	Prototype Team	08/21/97	08/26/97	08/26/97	08/28/97	Completed	
164	Screen Review: Drawdown - Part 3 (Attendees: Belden, D'Orazio, Miklave, Potter, Rebecca, Consomer, Javier, Tsang, Louie, Cronin) (Meeting #15)	Prototype Team	08/21/97	08/26/97	08/26/97	08/28/97	Completed	
165	Screen Review: Additional Drawdown, Paydown, Maturity/Conversion/Rollover (Attendees: Belden, D'Orazio, Miklave, Potter, Hickey, Consomer, Rebecca, Tsang, Louie, Govindraj, Cronin, Venkataraman) (Meeting #16)	Prototype Team	08/26/97	08/28/97	09/09/97	09/17/97	Completed	
166	Screen Review: Maturity/Conversion/Rollover - Part 2; Fees & Interest (Attendees: Belden, Miklave, Potter, Hickey, Consomer, Rebecca, Tsang, Louie, Govindraj, Cronin, Venkataraman) (Meeting #17)	Prototype Team	08/26/97	08/28/97	09/11/97	09/17/97	Completed	
167	Screen Review: Syndicate Sales, Sale Amount Change, Line Change (Attendees: Belden, D'Orazio, Potter, Consomer, Rebecca, Tsang, Louie, Govindraj, Cronin, Venkataraman) (Meeting #18)	Prototype Team	08/28/97	09/02/97	09/18/97	10/02/97	Completed	
168	Screen Review: Hold Change, Skim Change, Rate Parameter Change, Rate Setting, Memo (Attendees: Belden, D'Orazio, Miklave, Potter, Hickey, Consomer, Rebecca, Lascelles, Tsang, Louie, Govindraj, Cronin, Venkataraman) (Meeting #19)	Prototype Team	09/02/97	09/04/97	10/02/97	10/07/97	Completed	
169	Screen Review: Non Standard Messaging (Attendees: Belden, Miklave, Potter, Hickey, Consomer, Rebecca, Tsang, Louie, Govindraj, Cronin, Venkataraman) (Meeting #20)	Prototype Team	09/04/97	09/09/97	10/07/97	10/16/97	Completed	

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170	Screen Review: Activity Queue; Bids Demo (Attendees: Belden, Miklave, Potter, Hickey, Consoner, Rebecca, Thompson, Tsang, Louie, Govindraj, Cronin, Venkataraman) (Meeting #21)	Prototype Team	09/04/97	09/09/97	10/16/97	10/21/97	Completed	
171	Prototype Transaction Management	GUI Dev Team	08/21/97	09/19/97	09/08/97	11/05/97	Completed	
172	Publish Edit Review Document for Transaction Management	Louie	08/21/97	09/19/97	08/21/97	11/05/97	Completed	
173	Utilities							9/30: Since a majority of A+ functionality has been reviewed, the recommendation is to start the Design phase by mid-October and defer the review of Utilities to a future date.
174	Screen Review: Investor Maintenance, Prime Rate Maintenance	Prototype Team	09/11/97	09/16/97			Refer to Utilities Design & Development	
175	Screen Review: Password Change, Availability Funding (Non Pro Rata)	Prototype Team	09/16/97	09/18/97			Refer to Utilities Design & Development	
176	Prototype Utilities	GUI Dev Team	09/11/97	09/26/97			Refer to Utilities Design & Development	
177	Reporting							9/30: Since a majority of A+ functionality has been reviewed, the recommendation is to start the Design phase by mid-October and defer the review of Utilities to a future date.
178	Oracle Demonstration of Oracle Discoverer 3.0 (Attendees: Oracle: Dick Davis, Linda Green; Guha, Louie, Cronin, Govindraj, Tsang, Belden)	Oracle	08/27/97	08/27/97	08/27/97	08/27/97	Completed	Will do a proof-of-concept as a follow up to presentation. 10/29/97: Install problems encountered on 10/21 & 10/29 where internal Oracle problems (negative schema-id) in chaseultra2 & 1.
179	Screen Review: Adhoc reporting, Reporting - Part 1	Prototype Team	09/18/97	09/23/97			Refer to Reporting Design & Development	
180	Screen Review: Adhoc reporting, Reporting - Part 2	Prototype Team	09/23/97	09/25/97			Refer to Reporting Design & Development	
181	Prototype Reporting	GUI Dev Team	09/18/97	09/30/97			Refer to Reporting Design & Development	
182	Organize all existing reports currently in Agent Plus and not in Agent Plus and group them by category.	Berin	05/07/98	07/31/98	05/07/98	08/31/98	Completed	7/8/98: received an initial draft from Val; recommendations made. 12/28/98: took all reports currently in production A+ and grouped them by Reporting subtopics.
183	Application Server Prototyping							Minimum staffing requirements: 3 App Server developers + 1 Lead App Server Developer

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184	Setup AppServer on workstation at 1CMP/8FL	App Server Team; App Server Mentor Team	06/17/97	06/17/97	06/17/97	06/17/97	Completed	Mike Gevaza & Keith Rodricks from CLR spent the day setting up the appserver on Hari & Johnny's machines.
	Kickoff meeting with App Server Mentor Team to discuss strategy and what prototypes need to be done for proof of concepts. (Attendees: Gevavza, Rodricks, Govindraj, Cronin, Guha)	App Server Dev/Mentor Team	08/04/97	08/04/97	08/04/97	08/04/97	Complete	
185								Duplicate the Outstandings Report function which lists outstandings for a given deal/facility for a specified effective date for a specified investor. Provide print capability.
186	Proof of Concept: Wrapping Existing Pro*C Code							
187	Build CSession Params for Report.Outstandings (Obj.svc)	Govindraj	08/13/97	08/20/97	08/20/97	08/27/97	Completed	This DLL was developed following CLR standards manually. However A new wizard has been developed by CLR development team to automate this process. In future DLL development this wizard may be used to expedite the process.
188	Develop Business Object DLL Proxy Wrapper (written in Visual C++ v4.2b) to execute existing Pro*C code outs.exe	Govindraj	08/13/97	08/20/97	08/20/97	09/05/97	Completed	Some source code was missing from production libraries of Agent Plus. These files were excluded. Also existing coding does not conform to current Oracle standards; special compiler option was used to solve the problem. Some custom functions are missing.
189	Recompile outs.pc using Pro*C v2.2.3 Compiler (requires procurement of Programmer 2000)	Govindraj	08/20/97	08/25/97	09/08/97	09/30/97	Completed	Outs.pc (modified) was executed successfully by executing it from the DLL for a deal/facility. The outstanding report file was produced. This effort indicates that adopting existing PRO*C and C programs will involve modifications to the existing code.
190	Testing (requires database test environment to be setup)		08/25/97	09/15/97	09/20/97	10/08/97	Completed	
191	SPS BUSINESS AND FUNCTIONAL REQUIREMENTS ANALYSIS							

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192	Meeting to discuss overview of SPS Product portfolio in general and to cover the specifics of the SPS Trades Product in particular, including discussion of the sub-products SPS Distressed, SPS Warehouse, and Special Situations.	Cronin, DeFreitas Ferrara, Nerich, Niiranen	10/23/97	10/23/97	10/23/97	10/23/97	Completed	Proposed reconfiguring Product-as-Client / Client-as-Facility structure into structure similar to LSS in order to address security, concurrent access, and faxing issues. Proposed increasing number of clearing accounts to address reconciliation issue.
193	Conclude discussion SPS Trades Product; begin review SPS Swaps Product	Cronin, Nerich, Niiranen	10/30/97	10/30/97	10/30/97	10/30/97	Completed	
194	Conclude discussion of the SPS Swaps Product; discuss the nuances and special processing requirements of this suite of products.	Cronin, Nerich, Niiranen	11/04/97	11/04/97	11/04/97	11/04/97	Completed	
195	Integrate sub-product, SPS Derivatives, into discussion.	Cronin, Nerich, Niiranen	11/06/97	11/06/97	11/06/97	11/06/97	Completed	
196	Conclude discussion of SPS Derivatives. Review Octagon Credit.	Cronin, Nerich, Niiranen	11/13/97	11/13/97	11/13/97	11/13/97	Completed	
197	Conclude review with discussion of KZH family of products Introduce BLISS and SATURN.	Cronin, Nerich, Niiranen	11/21/97	11/21/97	11/21/97	11/21/97	Completed	
198	Publish draft of SPS business/technical functionality documentation	Niiranen	11/21/97	11/24/97	11/24/97	11/24/97	Completed	
199	Review documentation	Nerich, Cronin	11/24/97	11/26/97	11/26/97	12/02/97	Completed	
200	Publish finalized copy documentation	Niiranen				12/02/97	Completed	
201	Document nature of anticipated conflicts between functionality currently provided by Agent+ to SPS and replatforming efforts underway to replace the SQL*Forms user-interface with a Visual Basic GUI oriented user interface (if any exist)	Nerich, Cronin, Niiranen	11/21/97	12/05/97	11/21/97	05/13/98	Completed	21/1/98: solution for KZH formulated; 4/11/98:KZH investor utility implemented; 5/13/98: conversion completed - new KZH workaround in effect.
202	Formulate an approach that will alleviate, if not eliminate, current problems with respect to reconciliation, concurrent access, security, and faxing	Nerich, Cronin, Niiranen	11/21/97	12/05/97	11/21/97	05/13/98	Completed	21/1/98: solution for KZH formulated; 4/11/98:KZH investor utility implemented; 5/13/98: conversion completed - new KZH workaround in effect.
203	Determine what enhancements to Agent+ will be necessary to deliver this functionality and to recommend how and by whom they can be accomplished, or to recommend an alternate solution if enhancing Agent+ is not a practical solution	Nerich, Cronin, Niiranen	11/21/97	12/05/97	11/21/97	05/13/98	Completed	21/1/98: solution for KZH formulated; 4/11/98:KZH investor utility implemented; 5/13/98: conversion completed - new KZH workaround in effect.
204	Object Oriented Design/Development - Foundations							
205	Discuss Batch Server processing	App Server Team, Network Team	09/08/97	09/12/97	09/08/97	09/12/97	Completed	Batch Server Processing will become a component of the Application Server.
206	Design Meetings kickoff	CLR, A+ Development Team	10/16/97	10/21/97	10/16/97	10/21/97	Completed	Topics included roles and responsibilities, "slice" design/dev strategy; started discussion of first slice: SignOn
207	Formulate Releases/Slices for Design/Dev cycles	CLR, A+ Development Team	10/14/97	10/21/97	10/14/97	10/21/97	Completed	Strategy is for functionality to be rolled out as major releases and for Replatformed A+ to coexist with current A+ with no enhancements to current A+.
208	Publish Releases/Slices Strategy	Louie	10/14/97	10/21/97	10/14/97	10/21/97	Completed	

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209	Review Client and App Server Infrastructure	CLR, A+ Development Team	10/30/97	11/04/97	10/30/97	12/02/97	Completed	10/30: Gevaza gave overview of XPORTAPI; Laughton gave overview of Universal Component Architecture. GUI framework mtgs held with Laughton on 11/13, 11/18, 12/2
210	Formulate coding standards, corporate standards, naming conventions, source code control, testing strategies and procedures	Govindraj, Narayanan, CLR	10/14/97	11/29/97	11/14/97	12/01/97	Completed	
211	Publish Strategies and Conventions Document	Govindraj, Narayanan	10/14/97	11/29/97	11/10/97	12/11/97	Completed	12/9: Standards document reviewed by Laughton.
212	Release 1.0 Design & Development (GUI, App Server, Database)							
213	Release 1.0/Slice 1: SignOn		10/21/97	11/28/97				1/15/98: Revised the architecture of the Client Layer - create ActiveX controls for the ui, build a datalayer (object model) on the client and place activeX controls onto VB Forms and tie it to the datalayer. CLR is in agreement with revised architecture.
214	Review Signon Window and editing & validation rules with Replatforming Committee	Prototype Committee			03/04/98	03/04/98	Completed	Meeting held on 3/4/98 with Prototype Committee.
215	Detailed Design	Govindraj, Narayanan, Tsang, Louie, CLR	10/21/97	11/21/97	10/21/97	11/21/97	Completed	1/16/98: Need to revisit based on revised client architectural model.
216	Publish Detail Design Document for Slice 1	Govindraj, Narayanan, Tsang, Louie, CLR	10/21/97	12/19/97	10/21/97	02/01/98	Completed	Detailed Design Document contains GUI screen, Controls Description, Control Event Map, Events Description, Interaction Diagram, GUI Detailed Project Plan, App Server Detailed Project Plan, Test Cases, Program Specs, Source Code, New Database definitions.
217	Project Development (coding) begins	Tsang	12/08/97	12/17/97	12/08/97	02/02/98	Completed	1/16/98: Need to revisit based on revised client architectural model.
218	Component Testing (local App Server)	Development Team	12/10/97	12/19/97	12/10/97	02/02/98	Completed	1/16/98: Need to revisit based on revised client architectural model.
219	Systems Integration Testing (App Server @55W/18FL)	Development Team, CLR	12/10/97	12/19/97	12/10/97	02/05/98	Completed	
220	Demo of Slice 1 to Replatforming Committee	Replatforming Committee	03/18/98	03/18/98	03/25/98	03/25/98	Completed	
221	Release 1.0/Slice 2: Application Main Window		10/21/97	11/28/97				
222	Review Application Main Window and editing & validation rules with Replatforming Committee	Prototype Committee			03/04/98	03/04/98	Completed	Meeting held on 3/4/98 with Prototype Committee.
223	Detailed Design	Govindraj, Narayanan, Tsang, Louie, CLR	10/21/97	11/21/97	10/21/97	11/21/97	Completed	1/16/98: Need to revisit based on revised client architectural model.
224	Publish Detail Design Document for Slice 2	Govindraj, Narayanan, Tsang, Louie, CLR	10/21/97	12/19/97	10/21/97	02/23/98	Completed	1/16/98: Need to revisit based on revised client architectural model.
225	GUI Development & Unit Testing	Narayanan	12/08/97	12/17/97	12/08/97	01/30/98	Completed	1/16/98: Need to revisit based on revised client architectural model.

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226	App Server Development & Unit Testing	Govindraj	11/24/97	12/19/97	11/24/97	01/30/98	Completed	1/16/98: Need to revisit based on revised client architectural model.
227	Component Testing (local App Server)	Development Team	12/10/97	12/19/97	12/10/97	01/30/98	Completed	1/16/98: Need to revisit based on revised client architectural model.
228	Systems Integration Testing (App Server @55W/18FL)	Development Team, CLR	12/10/97	12/31/97	12/10/97	02/06/98	Completed	
229	Demo of Slice 2 to Replatforming Committee	Prototype Committee	03/18/98	03/18/98	03/25/98	03/25/98	Completed	
230	Release 1.0/Slice 3: Deal Select/Deal Info		12/02/97	12/31/97				
231	Review Deal Select Window and editing & validation rules with Replatforming Committee	Prototype Committee			03/04/98	03/04/98	Completed	Meeting held on 3/4/98 with Prototype Committee.
232	Review Deal Info Window and editing & validation rules with Replatforming Committee	Prototype Committee			03/04/98	03/11/98	Completed	Meeting held on 3/4/98 and 3/11/98 with Prototype Committee.
233	Detailed Design	Govindraj, Narayanan, Tsang, Louie, CLR	12/29/97	01/09/98	01/06/98	01/14/98	Completed	1/16/98: Need to revisit based on revised client architectural model.
234	Publish Detail Design Document for Slice 3	Govindraj, Narayanan, Tsang, Louie, CLR	12/29/97	01/23/97	12/31/97	02/23/98	Completed	
235	GUI Development & Unit Testing	GUI Dev Team	02/02/98	02/19/98	01/26/98	03/03/98	Completed	
236	App Server Development & Unit Testing	App Server Dev Team	01/26/98	02/27/98	01/26/98	03/03/98	Completed	
237	Component Testing (local App Server)	Development Team	03/02/98	03/06/98	02/25/98	03/09/98	Completed	
238	Systems Integration Testing (App Server @55W/18FL)	Development Team, CLR	03/02/98	03/13/98		03/25/98	Completed	3/12/98: Awaiting Network/LAN Support - 55W App Server cannot communicate with chaseultra4.
239	Demo of Slice 3 to Replatforming Committee	Prototype Committee	03/18/98	03/18/98	03/25/98	03/25/98	Completed	
240	Release 1.0/Slice 4: Deal Mgmt - Borrower Info		01/02/98	02/27/98				4/3/98: Big Bang approach approved by Business Group.
241	Review Borrower Detail Window and editing & validation rules with Replatforming Committee	Prototype Committee	03/11/98	03/18/98	03/11/98	03/18/98	Completed	Meeting held on 3/11/98 and 3/18/98 with the Replatforming Committee.
242	Review Borrower F/T Instruction List Window and editing & validation rules with Replatforming Committee	Prototype Committee	03/11/98	03/18/98	03/11/98	03/18/98	Completed	Meeting held on 3/11/98 and 3/18/98 with the Replatforming Committee.
243	Review Borrower F/T Instruction Detail Window and editing & validation rules with Replatforming Committee	Prototype Committee	03/11/98	03/18/98	03/11/98	03/18/98	Completed	Meeting held on 3/11/98 and 3/18/98 with the Replatforming Committee.
244	Review Borrower Contact List Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/08/98	04/20/98	04/20/98	Completed	
245	Review Borrower Contact Detail Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/08/98	04/20/98	04/20/98	Completed	
246	Review Borrower Fee Schedule List Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/08/98	04/29/98	05/20/98	Completed	
247	Review Borrower Fee Schedule Detail Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/22/98	04/22/98	04/29/98	05/20/98	Completed	

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248	Detailed Design	A+ Technical Team, Mentor Team	03/10/98	03/19/98	02/25/98	05/29/98	Completed	Meeting held with Mentoring team on 3/10/98 and 3/19/98. Design of Fee Schedule deferred till mid-April. 3/31/98: Design mtg - Borrower F/T & Contacts. 5/27/98: tech mtg on Fee Schedule. 6/15/98: mentor mtg.
249	Publish Detail Design Document	Govindraj, Narayanan, Tsang, Louie, CLR	03/01/98	04/30/98	03/01/98	05/29/98	Completed	
250	GUI Development & Unit Testing	GUI Dev Team	03/01/98	04/23/98	03/01/98	07/09/98	Completed	Fee Schedule deferred till mid-April.
251	App Server Development & Unit Testing	App Server Dev Team	03/01/98	04/23/98	03/01/98	07/09/98	Completed	Fee Schedule deferred till mid-April.
252	Component Testing (local App Server)	Development Team	04/23/98	04/27/98	04/24/98	07/09/98	Completed	
253	Systems Integration Testing (App Server @55W/18FL)	Development Team, CLR	04/27/98	04/30/98	04/27/98	07/15/98	Completed	System testing of fee schedule started on 7/9/98.
254	Demo of Slice 4 to Replatforming Committee	Replatforming Committee	04/29/98	04/29/98	05/13/98	07/15/98	Completed	Demonstration performed on 5/13/98 without Fee Schedule. Demonstration with Fee Schedule given on 7/15/98.
255	Release 1.0/Slice 5: Deal Mgmt - Investor		03/02/98	04/30/98				
256	Review Investor Group Select Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/15/98	04/08/98	04/08/98	Completed	
257	Review Investor Detail Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/15/98	04/08/98	04/08/98	Completed	
258	Review Investor F/T Instructions Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/15/98	04/08/98	04/08/98	Completed	
259	Review Investor Contact Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/15/98	04/20/98	04/20/98	Completed	
260	Detailed Design	A+ Technical Team, Mentor Team	03/10/98	03/19/98	03/10/98	03/31/98	Completed	Meeting held with Mentoring team on 3/10/98 and 3/19/98. Design of Fee Schedule deferred till mid-April.
261	Publish Detail Design Document	Govindraj, Narayanan, Tsang, Louie, CLR	03/01/98	04/30/98	03/01/98	05/29/98	Completed	
262	GUI Development & Unit Testing	GUI Dev Team	03/01/98	04/23/98	03/01/98	05/29/98	Completed	
263	App Server Development & Unit Testing	App Server Dev Team	03/01/98	04/23/98	03/01/98	05/29/98	Completed	
264	Component Testing (local App Server)	Development Team	04/23/98	04/27/98	04/24/98	05/29/98	Completed	
265	Systems Integration Testing (App Server @55W/18FL)	Development Team, CLR	04/27/98	04/30/98	04/27/98	05/29/98	Completed	
266	Demo of Slice 5 to Replatforming Committee	Replatforming Committee	04/29/98	04/29/98	05/13/98	05/13/98	Completed	4/30/98: met objectives required for 4/30/98 critical date - with exception of Fee Summary, completed development of all slices up to Slice 5 of Release 1. Demonstration planned for 5/13/98.
267	Release 1.0/Slice 6: Deal Mgmt - Contact Groups		05/01/98	06/30/98				

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1	Review Managed Contact Group Window and editing & validation rules with Replatforming Committee	Prototype Committee	04/01/98	04/15/98	04/16/98	04/20/98	Completed	
268		A+ Technical Team, Mentor Team						6/8/98: Mentor meeting held, recommendations: screens should only display when complete, VB code walkthru needed, Narayanan should be in the loop regarding front end Web design/development.
269	Detailed Design	Govindraj, Narayanan, Tsang, Louie, CLR	05/12/98	05/18/98	05/21/98	06/08/98	Completed	
270	Publish Detail Design Document		05/12/98	05/18/98	05/21/98	08/31/98	Completed	
271	GUI Development & Unit Testing	GUI Dev Team	05/18/98	05/31/98	06/01/98	07/09/98	Completed	
272	App Server Development & Unit Testing	App Server Dev Team	05/18/98	05/31/98	06/01/98	07/09/98	Completed	
273	Component Testing (local App Server)	Development Team	05/18/98	05/31/98	06/15/98	07/09/98	Completed	
274	Systems Integration Testing (App Server @55W/18FL)	Development Team, CLR	06/01/98	06/08/98	07/09/98	07/15/98	Completed	
275	Demo of Slice 6 to Replatforming Committee	Replatforming Committee	07/02/98	07/02/98	07/15/98	07/15/98	Completed	Demonstration of Slice 1 thru Slice 6 functionality was given to LSG Team Leaders, David Goldberg, and Jack Lewis.
276	Release 1.0/Slice 7: Deal Mgmt - Facility Maintenance		07/01/97	08/31/97				
277	Review Facility Select Window and editing & validation rules with Replatforming Committee	Replatforming Committee	05/26/98	06/10/98	05/26/98	06/03/98	Completed	
278	Review Facility Detail Window and editing & validation rules with Replatforming Committee	Replatforming Committee	05/26/98	06/10/98	05/26/98	06/10/98	Completed	6/10/98: Geanne Bianco and Susan Weiss were invited to the meeting so that GES and Agent Plus terminology can be more consistent.
279	Review Facility CLAS Info Window and editing & validation rules with Replatforming Committee	Replatforming Committee	05/26/98	06/17/98	05/26/98	06/25/98	Completed	
280	Review Facility LC Info Window and editing & validation rules with Replatforming Committee	Replatforming Committee	05/26/98	06/17/98	05/26/98	06/25/98	Completed	
281	Review Facility Fee Info Window and editing & validation rules with Replatforming Committee	Replatforming Committee	05/26/98	06/17/98	05/26/98	06/25/98	Completed	
282	Review Facility Syndicate Group Window and editing & validation rules with Replatforming Committee	Replatforming Committee	05/26/98	06/17/98	05/26/98	07/08/98	Completed	7/8/98: made modifications to the functionality and Gui as a result of mtg on 6/25/98. Met with committee and changes were approved.
283	Review Facility Pricing Options Window and editing & validation rules with Replatforming Committee	Replatforming Committee	05/26/98	06/17/98	05/26/98		Deferred	6/10/98: informed Committee that Pricing Info will be deferred until post-implementation.
284	Detailed Design	A+ Technical Team, Mentor Team	06/15/98	06/19/98	07/01/98	07/29/98	Completed	7/2/98: met with Mentor team to discuss Code Manager design. Tech mtg held on 7/1/98 (Select, Detail) and 7/6/98 (Syndicate, CLAS). 7/13/98: Mentor mtg (Facility Select/Detail incl GES components).
285	Publish Detail Design Document	Govindraj, Sini, Louie, CLR	06/15/98	07/31/98	07/01/98	05/21/99	Completed	
286	GUI Development & Unit Testing	GUI Dev Team	06/15/98	07/31/98	07/27/98	08/31/98	Completed	

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287	App Server Development & Unit Testing	App Server Dev Team	06/15/98	07/31/98	07/04/98	08/31/98	Completed	
288	Component Testing (local App Server)	Development Team	06/15/98	08/24/98	08/01/98	08/31/98	Completed	
289	Systems Integration Testing (App Server @55W/18FL)	Development Team, CLR	08/31/98	09/09/98	09/01/98	09/18/98	Completed	
290	Demo of Slice 7 to Replatforming Committee	Replatforming Committee	09/15/98	09/15/98	09/18/98	09/18/98	Completed	
291	Release 1.0/Slice 8: Deal Review		07/01/97	08/31/97				
292	Review Deal Review functionality (editing & validation rules) with Replatforming Committee	Replatforming Committee	06/15/98	06/30/98	06/12/98	07/08/98	Completed	7/1/98: After detailed analysis by the development team, it was decided that this function is better served as part of a customized review of deal data at transaction processing time. 7/8/98: review at xtn time ok'd by committee.
293	Deal Management QA (Pre-UAT) Testing		12/01/97	08/31/98				Anne Bowles and Laura Rebecca are doing Pre-UAT in the month of August. 8/31/98: Anne & Laurie completed pre-UAT of slice 1 - 6 - problems logged & will be fixed by 9/18/98.
294	Pre-UAT testing in the development database (devdb)	Replatforming Committee	07/15/98	07/31/98	07/20/98	09/30/98	Completed	8/17/98: Borkenstein, Louie, D'Orazio, Bowles, Rebecca met to discuss testing plan. Anita will come up with a draft of the test script.
295	Prepare and document test cases using the development database (devdb)	Testing Coordinators	07/15/98	07/31/98	08/17/98	11/05/98	Completed	
296	Deal Management User Acceptance Testing		01/02/98	08/31/98				
297	Migration of software and application install to the QA/UAT Environment (App Server @1CMP/8)	Development Team, QA	08/01/98	08/31/98	10/14/98	11/06/98	Completed	Dependent upon Sourcesafe implementation and establishing a Y2K compliant infrastructure by Network Team. 10/23/98: client software installed on 10 Y2K compliant desktops at 4NYP. SNA connection in progress.
298	Prepare UAT Database (uatdb), loading with production data and performing database conversions	Development Team	08/01/98	08/31/98	10/01/98	10/23/98	Completed	11/6/98: SNA problem for last 2 weeks temporarily fixed by pointed to RMS SNA Gateway at 5th Avenue.
299	Preliminary Testing of UAT environment including practice execution of test scripts.	Development Team, QA	08/01/98	08/31/98	10/26/98	11/06/98	Completed	Dependent upon conversion programs defined, coded, and tested by the Development Team.
300	Y2K UAT Testing to ensure functionality according to business requirements; continued functionality of previously migrated components; combined 19xx and 20xx testing; parallel testing with production to verify results; report and track UAT results.	Test Team, Testing Coordinators	09/01/98	09/30/98	11/05/98	02/15/99	Completed	Problem Tracking dependent upon use of Problem Tracking software application. 11/5/98: demo to team leaders held. 11/9/98: UAT for team leaders started. 11/10/98: Application Services Queue database on Lotus Notes added to all developers' desktops. 12/08/98: will need to refresh UATDB to verify data for SPS users. 2/1/99: resolved facility dollar amount issues raised by SPS.
301	Y2K Integration Testing to ensure all outgoing and incoming interfaces can be received, processed, and verified (if applicable to that component)	Test Team, Testing Coordinators	09/01/98	09/30/98	11/05/98	12/11/98	Completed	
302	Y2K End-to-End Testing to ensure all sending/receiving interfaces fully complete the life-cycle of a business transaction (if applicable to that component)	Test Team, Testing Coordinators	09/01/98	09/30/98			Not Applicable	

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1		Test Team, Testing Coordinators	09/01/98	09/30/98			Not Applicable	
303	Y2K Street Testing to ensure interface testing between Chase and external counterparties (if applicable to that component)	Test Team, Testing Coordinators	09/01/98	09/30/98			Not Applicable	
304	Y2K Simulation Testing in a Time Machined Environment to ensure the Application works in the year 2000.	Test Team, Testing Coordinators	05/01/99	05/21/99	05/05/99	05/06/99	Completed	
305	Business Partner Signoff that all test cases have been exercised successfully and according to business requirements	LSG Manager, SPSS Manager	11/01/98	12/31/98	11/01/98	05/11/99	Completed	
306	Release 1.0 UAT Schedule							
307	LSG Team Leaders - Group 1 & Group 2 - Demo	Borkenstein, Louie	11/05/98	11/05/98	11/05/98	11/05/98	Completed	
308	LSG Team Leaders - Group 1 - UAT (Gould, Fischer, D'Orazio, Sang, Appanna, Javier)	Borkenstein, Louie	11/09/98	11/10/98	11/09/98	12/11/98	Completed	11/09/98: Second day session was canceled due to inavailability of the testers. Fischer, Sang, Javier to finish week of 12/7.
309	LSG Team Leaders - Group 2 - UAT (Belden, Bowles, Consomer, Rebecca, Swales, Potter, Grieco)	Borkenstein, Louie	11/12/98	11/13/98			Canceled	Canceled, but all the people assigned did complete script by joining other groups.
310	LSG Account Managers - Group 1 & Group 2 - Demo	Borkenstein, Louie	11/16/98	11/16/98	11/16/98	11/16/98	Completed	11/17/98: GES production became unavailable during the demo. Saw a real need to have a representative from the Replatforming Committee present at these demos.
311	LSG Account Managers - Group 1 - UAT (Swales, Labinger, Riggio, Hill, Clinton, Fernandes, Le Juan, Montgomery, Consomer, Williams)	Borkenstein, Louie	11/17/98	11/18/98	11/17/98	11/18/98	Completed	Most people completed the first day of testing in the allotted 2.5 hours.
312	LSG Account Managers - Group 2 - UAT (Tabois, Potter, Grieco, Stasiw, Kahn, DeStefano, Chiu, Giacalone, Cassagnol)	Borkenstein, Louie	11/19/98	11/20/98	11/19/98	11/20/98	Completed	
313	LSG Account Managers - Group 3 & Group 4 - Demo	Borkenstein, Louie	11/30/98	11/30/98	11/30/98	11/30/98	Completed	Very receptive group.
314	LSG Account Managers - Group 3 - UAT (Cancar, Prainito, Belden, Pinnock, Spivey, Pucciarelli, Cassagnol, Ciocco, Gaston, Harris)	Borkenstein, Bowles	12/01/98	12/02/98	12/01/98	12/02/98	Completed	Harris and Gaston did not come for the second day.
315	LSG Account Managers - Group 4 - UAT (Persaud, Chan, Pierre-Louie, Carter, Hamboussi, Tonya Mitchell, Ogbourne, Fong, Brusco, Wall)	Borkenstein, Bowles	12/03/98	12/04/98	12/03/98	12/04/98	Completed	Mitchell, Wall, Persaud did not attend the demo but was able to go through the UAT with not too much assistance. On 12/3, App Server was unavailable for 30 minutes and had to be rebooted by Zhu.
316	LSG/SPSS Account Managers - Group 5 & 6 - Demo	Borkenstein, Louie	12/07/98	12/07/98	12/07/98	12/07/98	Completed	
								SPS users will do additional testing in Jan '99 after the UATDB is refreshed so they can verify dollar amounts on the Facility Maintenance subtopic. 1/18/98: Nerich to do Pre-UAT on refreshed UAT database. 2/9/99: Discrepancy with Outstanding & Availability btween TRGDB and UATDB for SPS deals - cause is App Server not factoring in maturing loans that were not rolled over. Hari will fix the code that calculates current o/s.
317	LSG/SPSS Account Managers - Group 5 - UAT (Sea Kae, Mark Heberer, Patricia Ragland, Vincent Bolognini, Gloria Javier, Jesus Sang, Camile Wilson, Lenora Kiernan, Nina Wang, Ruth Tortorici, Joe Nerich)	Louie, Borkenstein, Bowles, Rebecca	12/08/98	12/09/98	12/08/98	02/15/99	Completed	

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1								
	LSG/SPSS Account Managers - Group 6 - UAT (Molly Yee, Michelle Pope, Vincent Catlis, Pamela Pak, Nick Leone, Mahin Gandomi, Steve McArdle, Christiana Colalis, Jackie Reid, Eleanor Fiore)	Louie, Borkenstein	12/10/98	12/11/98	12/10/98	12/11/98	Completed	see above.
318								
319	Deal Management Performance & Load Testing		04/01/99	05/21/99				
320	Load Testing	Development Team	05/03/99	05/21/99	04/01/99	05/21/99	Completed	
321	Deal Management Training		04/01/99	05/21/99				
322		LSG, SPSS	11/05/98	05/21/99	11/05/98	05/21/99	Completed	
323	Transaction Management Design & Development (GUI, App Server, Database)							
324	<i>TranMgmt/Slice 1: Deal/Facility Select</i>		07/01/98	08/15/98				
325	Review Deal/Facility Select Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/22/98	08/20/98	10/13/98	Completed	8/20/98: Srimi will come up with a prototype. 10/2/98: Anita & Ed - initial specs.
		A+ Technical Team, Mentor Team						
326	Detailed Design		09/01/98	09/30/98	09/16/98	12/04/98	Completed	
		Govindraj, Srimi, Louie, CLR	09/01/98	09/30/98	09/16/98	05/21/99	Completed	
327	Publish Detail Design Document							
328	GUI Development & Unit Testing	GUI Dev Team	09/21/98	10/31/98	09/21/98	12/04/98	Completed	
329	App Server Development & Unit Testing	App Server Dev Team	09/21/98	10/31/98	09/21/98	12/04/98	Completed	
330	Component Testing (local App Server)	Development Team	09/21/98	10/31/98	10/26/98	12/04/98	Completed	
331	Systems Integration Testing	Development Team, CLR	11/13/98	04/30/99	12/14/98	05/21/99	Completed	Second build on 1/11/99.
332	Demo of TranMgmt/Slice 1 to Replatforming Committee	Replatforming Committee	11/13/98	11/30/98	01/29/99	01/29/99	Completed	
333	<i>TranMgmt/Slice 2: New Drawdown (End-to-End)</i>		07/01/98	08/15/98				
								7/12/98: Detailed analysis started by Louie & Borkenstein. 7/17/98: analysis delayed since 7/9/98 due to integration testing of Release 1/Slice 1 - 6 for 7/15/98 demo. 8/4/98: all day analysis session held. 8/6/98: Replatforming meeting held.
334	Review CD New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/02/98	08/06/98	Completed	8/4/98: all day analysis session held between Anita and Ed. 8/6/98: Replatforming meeting held.
335	Review LIBOR New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/06/98	Completed	8/4/98: all day analysis session held between Anita and Ed. 8/6/98: Replatforming meeting held.
336	Review Money Market New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/06/98	Completed	8/4/98: all day analysis session held between Anita and Ed. 8/6/98: Replatforming meeting held.
337	Review Fed Funds New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/06/98	Completed	8/4/98: all day analysis session held between Anita and Ed. 8/6/98: Replatforming meeting held.
338	Review ABR New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/13/98	Completed	
339	Review Commercial Paper New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/13/98	Completed	
340	Review Bid Loan New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/18/98	Completed	

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1	Review Banker Acceptance New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/18/98	Completed	
341	Review Letter of Credit New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/18/98	Completed	
342	Review Other Item New Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	07/01/98	07/31/98	07/17/98	08/18/98	Completed	
343	Review RDE requirements for New Drawdown	Replatforming Committee	07/01/98	07/31/98	07/23/98	08/14/98	Completed	
344	Review Transaction Review function for New Drawdown	Replatforming Committee	07/01/98	07/31/98	07/17/98	10/08/98	Completed	8/11/98: Committee meeting held. 9/14/98: review rules for drawdown formulated. 9/21/98: Document reviewed with DevTeam. 10/8/98: committee mtg held.
345	Review Processing parameters and processing procedures (including Batch Server and local processing) for New Drawdown	Replatforming Committee	07/01/98	07/31/98	07/06/98	10/08/98	Completed	7/17/98: analysis delayed since 7/9/98 due to integration testing of Release 1/Slice 1 - 6 for 7/15/98 demo. 7/28/98: All day design session with App Server and Mentor Teams. 8/11/98: Committee mtg held.
346	Review Event History Window for New Drawdown	Replatforming Committee	07/01/98	07/31/98	09/16/98	10/13/98	Completed	9/3/98: design mtgs held on 9/2, 9/3 and rwd'd with mentor team on 9/14. 9/24/98: Design approach ok'd by DeFreitas.
347	Review Activity Queue Processing for New Drawdown	Replatforming Committee	07/01/98	07/31/98	09/16/98	10/13/98	Completed	9/16/98: Srini will come up with a prototype. 10/02/98: Ed & Anita discussed GUI doc.
348	Detailed Design	A+ Technical Team, Mentor Team	09/01/98	09/30/98	09/02/98	12/04/98	Completed	9/16/98: Srini will come up with a prototype. 10/02/98: Ed & Anita discussed GUI doc.
349	Publish Detail Design Document	Govindraj, Srini, Louie, CLR	09/01/98	09/30/98	09/16/98	05/21/99	Completed	9/16/98: Srini will come up with a prototype. 10/02/98: Ed & Anita discussed GUI doc.
350	GUI Development & Unit Testing	GUI Dev Team	09/21/98	10/31/98	09/21/98	12/04/98	Completed	9/29/98: prelim design mtg focus on TI up to point of processing xtn. Design mtg held on 9/21 & 10/1, mentor mtg on 9/30.
351	App Server Development & Unit Testing	App Server Dev Team	09/21/98	10/31/98	09/21/98	12/04/98	Completed	
352	Component Testing (local App Server)	Development Team	09/21/98	11/13/98	10/26/98	12/04/98	Completed	
353	Systems Integration Testing	Development Team, CLR	11/13/98	04/30/99	12/14/98	05/21/99	Completed	12/30/98: Expected to receive complete end-to-end build with fixes reported by Anita for Deal/Fac Select & Drawdown by 1/1/99. 2/4/99: Bowles began pre-uat testing.
354	Demo of TranMgmt/Slice 2 to Replatforming Committee	Replatforming Committee	11/30/98	11/30/98	01/29/99	01/29/99	Completed	
355	TranMgmt/Slice 3: Additional Drawdown (End-to-End)	Replatforming Committee	09/28/98	04/30/99	01/29/99	01/29/99	Completed	
356	Review Additional Drawdown Window and editing & validation rules with Replatforming Committee	Replatforming Committee	10/21/98	11/13/98	10/23/98	11/18/98	Completed	

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Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1	A+ Technical Team, Mentor Team	11/16/98	12/04/98	11/23/98	01/15/99	Completed	
360 Detailed Design	Govindraj, Srin, Louie, CLR	11/16/98	12/04/98	11/23/98	05/21/99	Completed	
361 Publish Detail Design Document	GUI Dev Team	11/16/98	12/04/98	11/23/98	02/01/99	Completed	
362 GUI Development & Unit Testing	App Server Dev Team	11/16/98	12/04/98	11/23/98	02/01/99	Completed	
363 App Server Development & Unit Testing	Development Team	11/16/98	12/04/98	11/23/98	02/01/99	Completed	
364 Component Testing (local App Server)	Development Team, CLR	12/07/98	04/30/99	02/01/99	05/21/99	Completed	12/30/98: Expected to start by 1/31/99.
365 Systems Integration Testing	Replatforming Committee	12/07/98	04/30/99	05/03/99	05/21/99	Completed	
366 Demo of TranMgmt/Slice 3 to Replatforming Committee	Replatforming Committee	09/28/98	04/30/99				
367 TranMgmt/Slice 4: Paydown (End-to-End)	Replatforming Committee	10/21/98	11/13/98	10/23/98	11/18/98	Completed	
368 Review Paydown Window and editing & validation rules with Replatforming Committee	A+ Technical Team, Mentor Team	11/16/98	12/04/98	11/23/98	01/15/99	Completed	
369 Detailed Design	Govindraj, Srin, Louie, CLR	11/16/98	12/04/98	11/23/98	05/21/99	Completed	
370 Publish Detail Design Document	GUI Dev Team	11/16/98	12/04/98	11/23/98	02/01/99	Completed	
371 GUI Development & Unit Testing	App Server Dev Team	11/16/98	12/04/98	11/23/98	02/01/99	Completed	
372 App Server Development & Unit Testing	Development Team	11/16/98	12/04/98	11/23/98	02/01/99	Completed	
373 Component Testing (local App Server)	Development Team, CLR	12/07/98	04/30/99	02/01/99	05/21/99	Completed	12/30/98: Expected to start by 1/31/99.
374 Systems Integration Testing	Replatforming Committee	12/07/98	04/30/99	05/03/99	05/21/99	Completed	
375 Demo of TranMgmt/Slice 4 to Replatforming Committee	Replatforming Committee	09/28/98	04/30/99				
376 TranMgmt/Slice 5: Fees or Interest Accrual (End-to-End)	Replatforming Committee	11/02/98	11/13/98	11/09/98	11/18/98	Completed	
377 Review Fees & Interest Window and editing & validation rules with Replatforming Committee	A+ Technical Team, Mentor Team	11/16/98	12/04/98	11/23/98	01/15/99	Completed	
378 Detailed Design	Govindraj, Srin, Louie, CLR	11/16/98	12/04/98	11/23/98	05/21/99	Completed	
379 Publish Detail Design Document	GUI Dev Team	11/16/98	12/04/98	11/23/98	03/01/99	Completed	
380 GUI Development & Unit Testing	App Server Dev Team	11/16/98	12/04/98	11/23/98	03/01/99	Completed	
381 App Server Development & Unit Testing							

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1								
382	Component Testing (local App Server)	Development Team	11/16/98	02/28/99	02/28/99	03/01/99	Completed	
383	Systems Integration Testing	Development Team, CLR	03/01/99	04/30/99	03/01/99	05/21/99	Completed	
384	Demo of TranMgmt/Slice 5 to Replatforming Committee	Replatforming Committee	03/01/99	04/30/99	05/03/99	05/21/99	Completed	
385	TranMgmt/Slice 6: Rate Setting (End-to-End)		11/01/98	04/30/99				
386	Review Rate Setting Window and editing & validation rules with Replatforming Committee	Replatforming Committee	11/16/98	12/04/98	12/04/98	12/10/98	Completed	
387	Detailed Design	A+ Technical Team, Mentor Team	12/07/98	01/08/99	01/03/99	01/15/99	Completed	1/12/99: tech mtg held.
388	Publish Detail Design Document	Govindraj, Srinil, Louie, CLR	12/07/98	01/08/99	02/01/99	05/21/99	Completed	
389	GUI Development & Unit Testing	GUI Dev Team	12/07/98	02/28/99	02/01/99	03/05/99	Completed	
390	App Server Development & Unit Testing	App Server Dev Team	12/07/98	02/28/99	02/01/99	03/05/99	Completed	
391	Component Testing (local App Server)	Development Team	12/07/98	02/28/99	02/01/99	03/05/99	Completed	
392	Systems Integration Testing	Development Team, CLR	03/01/99	04/30/99	03/05/99	05/21/99	Completed	
393	Demo of TranMgmt/Slice 6 to Replatforming Committee	Replatforming Committee	03/01/99	04/30/99	05/03/99	05/21/99	Completed	
394	TranMgmt/Slice 7: Maturity/Conversion/Rollover (End-to-End)		11/01/98	04/30/99				
395	Review MCR Window and editing & validation rules with Replatforming Committee	Replatforming Committee	11/16/98	12/04/98	11/16/98	12/10/98	Completed	
396	Detailed Design	A+ Technical Team, Mentor Team	12/07/98	01/08/99	01/03/99	01/15/99	Completed	1/11/99: Technical Design meeting held.
397	Publish Detail Design Document	Govindraj, Srinil, Louie, CLR	12/07/98	01/08/99	02/01/99	05/21/99	Completed	
398	GUI Development & Unit Testing	GUI Dev Team	12/07/98	03/31/99	02/01/99	04/05/99	Completed	
399	App Server Development & Unit Testing	App Server Dev Team	12/07/98	03/31/99	02/01/99	04/05/99	Completed	
400	Component Testing (local App Server)	Development Team	12/07/98	03/31/99	02/01/99	04/05/99	Completed	
401	Systems Integration Testing	Development Team, CLR	04/01/99	04/30/99	04/06/99	05/21/99	Completed	
402	Demo of TranMgmt/Slice 7 to Replatforming Committee	Replatforming Committee	04/01/99	04/30/99	05/03/99	05/21/99	Completed	
403	TranMgmt/Slice 8: Syndicate/Participant Sales (End-to-End)		11/01/98	04/30/99				
404	Review Syndicate/Participant Sales Window and editing & validation rules with Replatforming Committee	Replatforming Committee	11/16/98	12/04/98	12/11/98	12/16/98	Completed	

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Task Description		Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1		A+ Technical Team, Mentor Team	12/07/98	01/08/99	01/03/99	01/15/99	Completed	1/12/99: tech mtg held.
405	Detailed Design	Govindraj, Srini, Louie, CLR	12/07/98	01/08/99	02/01/99	05/21/99	Completed	
406	Publish Detail Design Document	GUI Dev Team	12/07/98	01/08/99	02/01/99	03/05/99	Completed	
407	GUI Development & Unit Testing	App Server Dev Team	12/07/98	01/08/99	01/03/99	03/05/99	Completed	
408	App Server Development & Unit Testing	Development Team	12/07/98	01/08/99	02/01/99	03/05/99	Completed	
409	Component Testing (local App Server)	Development Team, CLR	03/01/99	04/30/99	03/05/99	05/21/99	Completed	
410	Systems Integration Testing	Replatforming Committee	03/01/99	04/30/99	05/03/99	05/21/99	Completed	
411	Demo of TranMgmt/Slice 8 to Replatforming Committee		11/01/98	04/30/99				
412	<i>TranMgmt/Slice 9: Syndicate/Participant Sales Amount Change (End-to-End)</i>							
413	Review Syndicate/Participant Sales Amount Change Window and editing & validation rules with Replatforming Committee	Replatforming Committee	11/16/98	12/04/98	12/11/98	12/30/98	Completed	12/22/98: finalized business requirements with Committee.
414	Detailed Design	A+ Technical Team, Mentor Team	12/07/98	01/08/99	01/03/99	01/15/99	Completed	
415	Publish Detail Design Document	Govindraj, Srini, Louie, CLR	12/07/98	01/08/99	01/03/99	05/21/99	Completed	
416	GUI Development & Unit Testing	GUI Dev Team	12/07/98	03/31/99	03/01/99	04/05/99	Completed	
417	App Server Development & Unit Testing	App Server Dev Team	12/07/98	03/31/99	03/01/99	04/05/99	Completed	
418	Component Testing (local App Server)	Development Team	12/07/98	03/31/99	03/01/99	04/05/99	Completed	
419	Systems Integration Testing	Development Team, CLR	04/01/99	04/30/99	04/06/99	05/21/99	Completed	
420	Demo of TranMgmt/Slice 9 to Replatforming Committee	Replatforming Committee	04/01/99	04/30/99	05/03/99	05/21/99	Completed	
421	<i>TranMgmt/Slice 10: Facility Line Change (End-to-End)</i>		12/01/98	04/30/99				
422	Review Facility Line Change Window and editing & validation rules with Replatforming Committee	Replatforming Committee	12/07/98	01/08/99	12/14/98	12/22/98	Completed	
423	Detailed Design	A+ Technical Team, Mentor Team	01/11/99	02/05/99	01/03/99	01/15/99	Not Started	
424	Publish Detail Design Document	Govindraj, Srini, Louie, CLR	01/11/99	02/05/99	01/03/99	05/21/99	Completed	
425	GUI Development & Unit Testing	GUI Dev Team	01/11/99	03/31/99	03/01/99	04/05/99	Completed	
426	App Server Development & Unit Testing	App Server Dev Team	01/11/99	03/31/99	03/01/99	04/05/99	Completed	

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	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1								
427	Component Testing (local App Server)	Development Team	01/11/99	03/31/99	03/01/99	04/05/99	Completed	
428	Systems Integration Testing	Development Team, CLR	04/01/99	04/30/99	04/06/99	05/21/99	Completed	
429	Demo of TranMgmt/Slice 10 to Replatforming Committee	Replatforming Committee	04/01/99	04/30/99	05/03/99	05/21/99	Completed	
430	TranMgmt/Slice 11: Skim Rates Change (End-to-End)		12/01/98	01/31/99				1/22/99: This function will be deferred and will be implemented in 8/99. Until then, this function will be supported by the Development Team until the function is available to the users. Refer to 1/26/99 memo
431	Review Skim Rate Change Window and editing & validation rules with Replatforming Committee	Replatforming Committee	12/07/98	01/08/99	12/21/98	12/31/98	Completed	12/22/98: finalized business requirements with Committee.
432	Detailed Design	A+ Technical Team, Mentor Team	01/11/99	02/05/99			Not Started	
433	Publish Detail Design Document	Govindraj, Sini, Louie, CLR	01/11/99	02/05/99			Not Started	
434	GUI Development & Unit Testing	GUI Dev Team	01/11/99	02/05/99			Not Started	
435	App Server Development & Unit Testing	App Server Dev Team	01/11/99	02/05/99			Not Started	
436	Component Testing (local App Server)	Development Team	01/11/99	02/05/99			Not Started	
437	Systems Integration Testing	Development Team, CLR	02/08/99	02/19/99			Not Started	
438	Demo of TranMgmt/Slice 11 to Replatforming Committee	Replatforming Committee	02/08/99	02/19/99			Not Started	
439	TranMgmt/Slice 12: Note/Fee Rate Parameter Change (End-to-End)		12/01/98	04/30/99				
440	Review Note/Fee Rate Parameter Change Window and editing & validation rules with Replatforming Committee	Replatforming Committee	12/07/98	01/08/99	12/14/98	12/22/98	Completed	
441	Detailed Design	A+ Technical Team, Mentor Team	01/11/99	02/05/99	01/03/99	01/15/99	Completed	
442	Publish Detail Design Document	Govindraj, Sini, Louie, CLR	01/11/99	02/05/99	01/03/99	05/21/99	Completed	
443	GUI Development & Unit Testing	GUI Dev Team	01/11/99	03/31/99	03/01/99	04/05/99	Completed	
444	App Server Development & Unit Testing	App Server Dev Team	01/11/99	03/31/99	02/01/99	04/05/99	Completed	
445	Component Testing (local App Server)	Development Team	01/11/99	03/31/99	03/01/99	04/05/99	Completed	
446	Systems Integration Testing	Development Team, CLR	04/01/99	04/30/99	04/06/99	05/21/99	Completed	
447	Demo of TranMgmt/Slice 12 to Replatforming Committee	Replatforming Committee	04/01/99	04/30/99	05/03/99	05/21/99	Completed	

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1								
448	TranMgmt/Slice 13: Reference Bank Parameter Change (End-to-End)		12/07/98	01/31/99				1/22/99: This function will be deferred and will be implemented in 8/99. Until then, this function will be supported by the Development Team until the function is available to the users. Refer to 1/26/99 memo.
449	Review Reference Bank Parameter Change Window and editing & validation rules with Replatforming Committee	Replatforming Committee	12/07/98	01/08/99	12/21/98	12/31/98	Completed	12/22/98: finalized business requirements with Committee.
450	Detailed Design	A+ Technical Team, Mentor Team	01/11/99	02/05/99			Not Started	
451	Publish Detail Design Document	Govindraj, Srinil, Louie, CLR	01/11/99	02/05/99			Not Started	
452	GUI Development & Unit Testing	GUI Dev Team	01/11/99	02/05/99			Not Started	
453	App Server Development & Unit Testing	App Server Dev Team	01/11/99	02/05/99	01/19/99	02/19/99	Completed	1/19/99: App Server development of this transaction was assigned to Debbie Sutter.
454	Component Testing (local App Server)	Development Team	01/11/99	02/05/99			Not Started	
455	Systems Integration Testing	Development Team, CLR	02/08/99	02/19/99			Not Started	
456	Demo of TranMgmt/Slice 12 to Replatforming Committee	Replatforming Committee	02/08/99	02/19/99			Not Started	
457	TranMgmt/Slice 14: Memo (End-to-End)		12/07/98	04/30/99				
458	Review Memo Window and editing & validation rules with Replatforming Committee	Replatforming Committee	12/07/98	01/08/99	12/21/98	12/31/98	Completed	12/22/98: finalized business requirements with Committee.
459	Detailed Design	A+ Technical Team, Mentor Team	01/11/99	02/05/99	01/03/99	01/15/99	Completed	
460	Publish Detail Design Document	Govindraj, Srinil, Louie, CLR	01/11/99	02/05/99	01/03/99	05/21/99	Completed	
461	GUI Development & Unit Testing	GUI Dev Team	01/11/99	02/28/99				This component assigned to Greg Daniels. 3/15/99: Responsibility of developing this component was re-assigned back to the GUI Team at the request of Daniels.
462	App Server Development & Unit Testing	App Server Dev Team	01/11/99	02/28/99	02/25/99	04/05/99	Completed	1/13/99: App Server development of this transaction was assigned to Adam Dorn.
463	Component Testing (local App Server)	Development Team	01/11/99	2/2/8/99	03/01/99	04/05/99	Completed	
464	Systems Integration Testing	Development Team, CLR	03/01/99	04/30/99	04/06/99	05/21/99	Completed	
465	Demo of TranMgmt/Slice 13 to Replatforming Committee	Replatforming Committee	03/01/99	04/30/99	05/03/99	05/21/99	Completed	
466	TranMgmt/Slice 15: Non-Standard Message (End-to-End)		12/07/98	04/30/99				
467	Review Non-Standard Message Window and editing & validation rules with Replatforming Committee	Replatforming Committee	12/07/98	01/08/99	12/21/98	02/10/99	Completed	1/8/99: Committee meeting held; follow-up needed. 1/14/99: followup committee mtg held.

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	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1		A+ Technical Team, Mentor Team						
468	Detailed Design		01/11/99	02/05/99	02/01/99	02/26/99	Completed	2/16/99: technical design mtg held.
469	Publish Detail Design Document	Govindraj, Srin, Louie, CLR	01/11/99	02/05/99	02/01/99	05/21/99	Completed	
470	GUI Development & Unit Testing	GUI Dev Team	01/11/99	03/31/99	03/01/99	04/05/99	Completed	
471	App Server Development & Unit Testing	App Server Dev Team	01/11/99	03/31/99	02/08/99	04/05/99	Completed	
472	Component Testing (local App Server)	Development Team	01/11/99	03/31/99	03/01/99	04/05/99	Completed	
473	Systems Integration Testing	Development Team, CLR	04/01/99	04/30/99	04/06/99	05/21/99	Completed	
474	Demo of TranMgmt/Slice 14 to Replatforming Committee	Replatforming Committee	04/01/99	04/30/99	05/03/99	05/21/99	Completed	
475	Transaction Management User Acceptance Testing		03/01/99	05/21/99				
476	Publish UAT Script document	Borkenstein, Bowles, Pak	01/01/99	04/15/99	01/19/99	04/30/99	Completed	Document will also be used for Training and as a User's Guide.
477	User Acceptance Testing	LSG, SPSS	05/03/99	05/21/99	05/03/99	05/21/99	Completed	
478	Transaction Management Performance & Load Testing		04/01/99	05/21/99				
479	Load Testing	Development Team	05/03/99	05/21/99	04/01/99	05/21/99	Completed	
480	Transaction Management Training		04/01/99	05/21/99	05/10/99	05/21/99	Completed	
481	Training	LSG, SPSS	05/10/99	05/21/99	05/10/99	05/21/99	Completed	
482	Utilities Design & Development (GUI, App Server, Database)							
483	Utilities/Slice 1: Investor Maintenance							1/22/99: The Investor Select, Investor Detail, and Prime Rate Maintenance will be included in the 5/99 implementation. Investor Contact and Tax Documents will be implemented in 8/99 - these two functions will be supported by the Development Team until the function is available to the users. Refer to 1/28/99 memo.
484	Review Investor Maintenance Window and editing & validation rules with Replatforming Committee	Replatforming Committee	01/11/99	01/22/99	01/05/99	01/14/99	Completed	1/14/99: Committee meeting held.
485	Detailed Design	A+ Technical Team, Mentor Team	02/08/99	03/05/99	01/03/99	01/15/99	Completed	
486	Publish Detail Design Document	Govindraj, Srin, Louie, CLR	02/08/99	03/05/99	01/03/99	05/21/99	Completed	
487	GUI Development & Unit Testing	GUI Dev Team	02/08/99	02/28/99	02/08/99	03/05/99	Completed	
488	App Server Development & Unit Testing	App Server Dev Team	02/08/99	02/28/99	01/15/99	02/26/99	Completed	1/15/99: App Server development of Prime Rate Maintenance assigned to Subbu.

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Task Description		Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1		Development Team	02/08/99	02/28/99	02/08/99	03/05/99	Completed	
489	Component Testing (local App Server)	Development Team, CLR	03/01/99	04/30/99	03/05/99	05/21/99	Completed	
490	Systems Integration Testing	Replatforming Committee	03/01/99	04/30/99	05/03/99	05/21/99	Completed	
491	Demo of Utilities/Slice 1 to Replatforming Committee		01/11/98	03/19/99				
492	Utilities/Slice 2: Prime Rate Maintenance	Replatforming Committee	01/11/99	01/22/99	01/16/99		Moved to Utilities/Slice1	11/16/99: Prime Rate maintenance will be part of the functions available in Investor Maintenance.
493	Review Prime Rate Maintenance Window and editing & validation rules with Replatforming Committee	A+ Technical Team, Mentor Team					Moved to Utilities/Slice1	
494	Detailed Design	Govindraj, Sini, Louie, CLR	02/08/99	03/05/99			Moved to Utilities/Slice1	
495	Publish Detail Design Document		02/08/99	03/05/99			Moved to Utilities/Slice1	
496	GUI Development & Unit Testing	GUI Dev Team	02/08/99	03/05/99			Moved to Utilities/Slice1	
497	App Server Development & Unit Testing	App Server Dev Team	02/08/99	03/05/99	01/15/99		Moved to Utilities/Slice1	1/15/99: Assigned to Subbu.
498	Component Testing (local App Server)	Development Team	02/08/99	03/05/99			Moved to Utilities/Slice1	
499	Systems Integration Testing	Development Team, CLR	03/08/99	03/19/99			Moved to Utilities/Slice1	
500	Demo of Utilities/Slice 2 to Replatforming Committee	Replatforming Committee	03/08/99	03/19/99			Moved to Utilities/Slice1	
501	Utilities/Slice 3: Template Maintenance		01/11/98	04/30/99				
502	Review Template Maintenance Window and editing & validation rules with Replatforming Committee	Replatforming Committee	01/11/99	01/22/99	01/08/99	01/14/99	Completed	1/14/99: Committee meeting held.
503	Detailed Design	A+ Technical Team, Mentor Team	02/08/99	03/05/99	02/01/99	02/28/99	Completed	
504	Publish Detail Design Document	Govindraj, Sini, Louie, CLR	02/08/99	03/05/99	02/01/99	05/21/99	Completed	
505	GUI Development & Unit Testing	GUI Dev Team	02/08/99	03/31/99	03/01/99	04/05/99	Completed	
506	App Server Development & Unit Testing	App Server Dev Team	02/08/99	03/31/99	03/01/99	04/05/99	Completed	
507	Component Testing (local App Server)	Development Team	02/08/99	03/31/99	03/01/99	04/05/99	Completed	
508	Systems Integration Testing	Development Team, CLR	04/01/99	04/30/99	04/06/99	05/21/99	Completed	
509	Demo of Utilities/Slice 2 to Replatforming Committee	Replatforming Committee	04/01/99	04/30/99	05/03/99	05/21/99	Completed	
510	Utilities/Slice 4: Availability Funding Utility		01/11/98	03/19/99				1/22/99: This function will be deferred and will be implemented in 8/99. The Y2K compliant version will be supported by the Development Team until it is available to the user population. Refer to 1/26/99 memo.

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1	Review Availability Funding Window and editing & validation rules with Replatforming Committee	Replatforming Committee	01/11/99	01/22/99			Not Started	
512	Detailed Design	A+ Technical Team, Mentor Team	02/08/99	03/05/99			Not Started	
513	Publish Detail Design Document	Govindraj, Srinii, Louie, CLR	02/08/99	03/05/99			Not Started	
514	GUI Development & Unit Testing	GUI Dev Team	02/08/99	03/05/99			Not Started	
515	App Server Development & Unit Testing	App Server Dev Team	02/08/99	03/05/99			Not Started	
516	Component Testing (local App Server)	Development Team	02/08/99	03/05/99			Not Started	
517	Systems Integration Testing	Development Team, CLR	03/08/99	03/19/99			Not Started	
518	Demo of Utilities/Slice 3 to Replatforming Committee	Replatforming Committee	03/08/99	03/19/99			Not Started	
519	Utilities/Slice 5: Shared National Credit Review Shared National Credit Window(s) and editing & validation rules with Replatforming Committee	Replatforming Committee	01/11/98	03/19/99				1/22/99: This function will be deferred and will be implemented in 8/99. The Y2K compliant version will be supported by the Development Team until it is available to the user population. Refer to 1/26/99 memo.
520	Detailed Design	A+ Technical Team, Mentor Team	01/11/99	01/22/99			Not Started	
521	Publish Detail Design Document	Govindraj, Srinii, Louie, CLR	02/08/99	03/05/99			Not Started	
523	GUI Development & Unit Testing	GUI Dev Team	02/08/99	03/05/99			Not Started	
524	App Server Development & Unit Testing	App Server Dev Team	02/08/99	03/05/99			Not Started	
525	Component Testing (local App Server)	Development Team	02/08/99	03/05/99			Not Started	
526	Systems Integration Testing	Development Team, CLR	03/08/99	03/19/99			Not Started	
527	Demo of Utilities/Slice 4 to Replatforming Committee	Replatforming Committee	03/08/99	03/19/99			Not Started	
528	Utilities/Slice 6: Form 1042 Filing Review Form 1042 Filing Window(s) and editing & validation rules with Replatforming Committee	Replatforming Committee	01/11/98	03/19/99				1/22/99: This function will be deferred and will be implemented in 8/99. The Y2K compliant version will be supported by the Development Team until it is available to the user population. Refer to 1/26/99 memo.
529			01/11/99	01/22/99			Not Started	

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Task Description		Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1								
530	Detailed Design	A+ Technical Team, Mentor Team	02/08/99	03/05/99			Not Started	
531	Publish Detail Design Document	Govindraj, Sridini, Louie, CLR	02/08/99	03/05/99			Not Started	
532	GUI Development & Unit Testing	GUI Dev Team	02/08/99	03/05/99			Not Started	
533	App Server Development & Unit Testing	App Server Dev Team	02/08/99	03/05/99			Not Started	
534	Component Testing (local App Server)	Development Team	02/08/99	03/05/99			Not Started	
535	Systems Integration Testing	Development Team, CLR	03/08/99	03/19/99			Not Started	
536	Demo of Utilities/Slice 5 to Replatforming Committee	Replatforming Committee	03/08/99	03/19/99			Not Started	
537	Utilities/Slice 7: SPS Investor Maintenance		01/11/98	03/19/99				1/22/99: This function will be deferred and will be implemented in 8/99. The Y2K compliant version will be supported by the Development Team until it is available to the user population. Refer to 1/26/99 memo.
538	Review SPS Investor Maintenance Window and editing & validation rules with Replatforming Committee	Replatforming Committee	01/11/99	01/22/99			Not Started	
539	Detailed Design	A+ Technical Team, Mentor Team	02/08/99	03/05/99			Not Started	
540	Publish Detail Design Document	Govindraj, Sridini, Louie, CLR	02/08/99	03/05/99			Not Started	
541	GUI Development & Unit Testing	GUI Dev Team	02/08/99	03/05/99			Not Started	
542	App Server Development & Unit Testing	App Server Dev Team	02/08/99	03/05/99			Not Started	3/1/99: The Tax Document componentm was given to Debbie Sutter.
543	Component Testing (local App Server)	Development Team	02/08/99	03/05/99			Not Started	
544	Systems Integration Testing	Development Team, CLR	03/08/99	03/19/99			Not Started	
545	Demo of Utilities/Slice 2 to Replatforming Committee	Replatforming Committee	03/08/99	03/19/99			Not Started	
546	Utilities User Acceptance Testing		04/01/99	05/21/99				Document will also be used for Training and as a User's Guide.
547	Publish UAT Script document	Borkenstein, Bowles, Pak	01/01/99	04/15/99	01/19/99	04/30/99	Completed	
548	User Acceptance Testing	LSG, SPSS	05/03/99	05/21/99	05/03/99	05/21/99	Completed	
549	Utilities Performance & Load Testing		04/01/99	05/21/99				
550	Load Testing	Development Team	05/03/99	05/21/99	04/01/99	05/21/99	Completed	
551	Utilities Training		04/01/99	05/21/99				
552	Training	LSG, SPSS	05/10/99	05/21/99	05/10/99	05/21/99	Completed	

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	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1	Reporting Design & Development (GUI, App Server, Database)							
553								
554	Finalize Reporting Tool to be used	A+ Technical Team, Mentor Team	09/18/98	12/31/98	09/18/98	01/08/99	Completed	11/3/98: met with Chris Yee and Rick Ducci of Oracle. Will do proof-of-concept with us using Oracle Reports on week of 11/16. 12/9/98: Technical meeting with Yee, Handal, E Becker, McClellan, Zappia, Rodricks, Govindraj, Verma. Proof of Concept to begin. Architecture laid out.
555	Proof of Concept for Oracle Reports	Verma, Tsang	12/10/98	12/31/98	12/10/98	01/08/99	Completed	GUI will put in Reporting Main Topic Button and Subtopics. Reports will be installed on Deepak's machine and will act as Report Server. Pick report with no parms, with cascading parms, with no cascade parms and do proof of concept. 12/30/98: expected to finish by 1/8/99.
556	Review Reporting function and editing & validation rules with Replatforming Committee	Replatforming Committee	01/04/99	02/22/99	01/04/99	01/14/99	Completed	1/14/99: Committee mtg held.
557	Detailed Design	A+ Technical Team, Mentor Team	02/22/99	03/28/99	01/11/99	01/15/99	Completed	1/13/99: 2 day design mtg held with Technical Team. Oracle Reports able to create text files and auto print.
558	Publish Detail Design Document	Govindraj, Srin, Louie, CLR	02/22/99	03/28/99	01/19/99	04/30/99	Completed	
559	GUI Development & Unit Testing	GUI Dev Team	02/01/99	03/31/99	01/19/99	03/31/99	Completed	1/19/99: Resources: Tsang, Sung, Berin
560	App & Report Server Development & Unit Testing	App Server Dev Team	02/01/99	03/31/99	01/19/99	03/31/99	Completed	1/19/99: Resources: Verma, Berin, Cronin. 2/16/99: Val out on medical leave for 2 weeks.
561	Component Testing (local App Server)	Development Team	02/01/99	03/31/99	02/25/99	03/31/99	Completed	
562	Systems Integration Testing	Development Team, CLR	04/01/99	04/30/99	03/05/99	05/21/99	Completed	3/5/99: first half of reports being tested; time lost due to two week sick leave by Val.
563	Demo of Reporting to Replatforming Committee	Replatforming Committee	04/01/99	04/30/99	05/03/99	05/21/99	Completed	
564	Reporting User Acceptance Testing		04/01/99	05/21/99				
565	Publish UAT Script document	Borkenstein, Bowles, Pak	01/01/99	04/15/99	01/19/99	04/30/99	Completed	Document will also be used for Training and as a User's Guide.
566	User Acceptance Testing	LSG, SPSS	05/03/99	05/21/99	05/03/99	05/21/99	Completed	
567	Reporting Performance & Load Testing		04/01/99	05/21/99				
568	Load Testing	LSG, SPSS	05/03/99	05/21/99	05/03/99	05/21/99	Completed	
569	Reporting Training		04/01/99	05/21/99				
570	Training	LSG, SPSS	05/10/99	05/21/99	05/10/99	05/21/99	Completed	
571	System Administration Design & Development (GUI, App Server, Database)							1/22/99: This function will be deferred and will be implemented in 8/99. The Y2K compliant version will be supported by the Development Team until it is available to the user population. Refer to 1/26/99 memo.
572	System Administration QA (Pre-UAT) Testing							
573	System Administration User Acceptance Testing							

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	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1								
574	System Administration Online Help/User Manual							
575	System Administration Performance & Load Testing							
576	System Administration Training							
577	Implementation							
578	Splash Screen & Icon	Louie	03/01/99	05/14/99	03/15/99	05/10/99	Completed	3/25/99: met with Ann Fang of Desktop Publishing of CTS (Mary Troncoso. Mgr). will do the work but do not have a way to bill for services. 3/31/99: met with Cora Creed & David Sils of Design Services. Will provide a work estimate by end of next week. Draft will be done 3rd week of April. 4/29: splash screen approved and finalized.
579	Database Server Migration/Implementation Strategy							
580	Document Detailed Project Plan for Migration/Implementation							
581	Upgrade DEVDB in ultra4 to Oracle RDBMS v8.0.5 and test Oracle Client 8.0.4 against RDBMS 8.0.5	Guha	11/02/98	11/30/98	11/02/98	12/21/98	Completed	11/2/98: met with Oracle (Rick Ducci and Chris Yee) to discuss requirements for Parallel Server. 11/10/98: met with Sun to discuss hardware requirements. 12/2/98: Arup drafted Parallel Server migration document. 12/21/98: Decided to hold off on Oracle Parallel Server until post implementation. Plan to use ultra4 and ultra1 for production - will be done in advance of impl weekend.
582	Upgrade Oracle Client on developer's workstation to 8.0.5 toolset and test against DEVDB	Guha, Sung	12/31/98	01/08/99	12/23/98	01/07/99	Completed	
583	Upgrade Oracle Client to 8.0.5 toolset for all developers, and include in new image (RRRR format needs to be updated at this time in both NT and App Server)	Guha, Sung	01/04/99	01/08/99	01/04/99	01/07/99	Completed	
584	Upgrade UATDB to RDBMS 8.0.5 and test A+	Rodriguez	01/04/99	01/08/99	01/08/99	01/20/99	Completed	1/11/99: decided to downgrade UATDB and DEVDB back to 8.0.4 after Oracle informed us that there would be multi-patches coming for 8.0.5 due to reported date problems. Another reason turned out to be more of a Microsoft ODBC issue. Went back to 8.0.4 because of its stability. see above.
585	Test Y2K compliance of cron jobs and MIS (non-simulated)	Guha, Sung, Cronin	01/11/99	01/12/99	01/08/99	01/20/99	Completed	2/11/99: jobs are running in UATDB, simulation testing still needs to be done. 5/6/99: clocks set to 1/1/2000 and jobs ran fine.
586	Decision on lease of Sun Ultraspac	DeFreitas	01/18/99	01/22/99	01/18/99	05/06/99	Completed	1/27/99: DeFreitas said Sun has no loaner Ultra-spac to give to us.
587	Detail the steps required to reconfigure the Database Servers (raw partition & unix file system) & setup servers for replication	Guha, Sung	01/18/99	01/31/99	01/18/99	02/25/99	Completed	
588	Upgrade the CPU on ultra1, ultra2, and ultra4 from 200Mhz to 300 Mhz	Xia	01/18/99	01/31/99	02/02/99	05/06/99	Completed	2/2/99: Guha memo to JD requesting 300Mhz upgrade of ultra1/2/4. 2/10/99: Wei Lin will put the price quotes together for DeFreitas. 4/7/99: ultra1 upgraded. 5/6/99: ultra4 upgraded.

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	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
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589	Recommendation to increase RAM from 512MB to 768MB to support the 100mb lan upgrade	Guha, Sung, DeFreitas	02/04/99	03/31/99	02/04/99	02/10/99	Canceled	2/4/99: Guha memo to JD requesting RAM upgrade to 768MB from 512MB. 2/10/99: Determined that 10 process (AppServerN -4, AppServers - 4, RptServerN - 1, RptServerS - 1) are active at any one time - RAM should not be an issue. Address later if it becomes a concern during performance load testing.
	Cleanup of "orphans", GES UCN, Current A/M, Primary A/M, Backup A/M, SIC Code, fien-BAC, Country, State, Province, City, GES FAC-Id, closed facilities with o/s and commitments, FTs							11/6/98: meeting with Janet, Lucy, Ron, Andrew held. Decided what was System vs Business responsibilities for data cleanup. 12/2/98: Ron will start cleanup once he comes back from vacation. 2/8/99: cleanup completed by Ron and acct managers.
590		Cronin, Potter	11/06/98	03/31/99	11/06/98	05/21/99	Completed	
591	Cleanup of duplicate rows on A+ database	Guha, Cronin	02/01/99	03/12/99	02/01/99	05/21/99	Completed	
592	Cleanup of date related problems on A+ database	Guha	02/01/99	03/12/99	02/01/99	03/25/99	Completed	
593	Planning							
	Decide on Oracle Parallel Server or remain with the current database environment configuration.	Campbell, DeFreitas, Louie						Meetings held with Mike on 10/30/98, 11/24/98, 12/2/98, 12/21/98. Came up with strategy for database implementation using ultra4 and ultra1. OPS will be addressed post-implementation.
594			11/01/98	12/31/98	10/30/98	12/21/98	Completed	
595	Secure ACF2-id and GES access for all A+ users at 1CMP/8FL.	Louie, LSG	02/01/99	03/31/99	02/19/99	04/30/99	Completed	2/25/99: Bob Malvin from TID Data Security said a spreadsheet containing all the new users will suffice. Grieco has assigned K Davis to retrieve necessary information. 3/29/99: ACF2-id and GES access request for 29 users sent to Bob Malvin of TID.
596	Ensure co-existence of Agent Plus and CMS Exposure Inquiry v5.2.	Development Team, CMS EI	02/20/99	04/15/99	02/20/99	04/20/99	Completed	3/1/99: meeting held with D Handal. 3/19/99: mtg with Tsang, Govindraj, Louie, Hemmady, DeFreitas - will try to install A+ on network and share common application files with EI.
597	Remote Site Planning - 270 PK/17FL - DCS	Development Team, DCS	02/23/99	05/31/99	02/23/99	05/25/99	Completed	2/23/99: met with F Volpecilli and DCS to discuss deployment. Entered a draft request in the IE & CM Lotus Notes database. 3/10/99: met w/ Joe Garry and Lin Fong O'Neil to get recommendations. Suggestion is to set up a mtg with Tom Crimmins. 5/25: worked with Tony Grigos to do a local install of A+ client on 6 users' desktops.
598	Remote Site Planning - 270 PK/26FL & 4FL - GMT	Development Team, DCS	02/23/99	05/31/99	02/23/99	05/27/99	Completed	2/23/99: met with F Volpecilli and DCS to discuss deployment. Entered a draft request in the CCR database. 3/10/99: met w/ Joe Garry and Lin Fong O'Neil to get recommendations. Suggestion is to set up a mtg with Tony Camera. 5/27: local install on one desktop functioning.
599	Remote Site Planning - 450W33rd/15FL, 14FL, 8FL - Alex Chin	Development Team, DCS					Canceled	3/19/99: Chris suggest we speak to Alex Chin. 5/21/99: this remote site will be addressed post-implementation.

Agent Plus Replatforming Initiative - Detailed Project Plan

	A	B	C	D	E	F	G	H
	Task Description	Resp	Est Start	Est End	Actual Start	Actual End	Status	Comments
1		Development Team, Infrastructure Team						
600	Detailed Implementation Script				05/19/99	05/28/99	Completed	
601	Execution of <i>Big Bang Weekend</i>							
		Development Team, Infrastructure Team	05/28/99	05/31/99	05/28/99	05/31/99	Completed	Success!
602	Execution of Big Bang Weekend							

EXHIBIT 2

Pre-User Acceptance Test Script and Guidelines

- I. Review Business Specifications documents for each window
- II. Understand Y2K testing requirements for date fields; review Pages 8 and 9 of the *Agent Plus Replatforming Initiative Year 2000 Test Strategy* document.
- III. Bring any deals you are working on to use as test examples (simple, complex or somewhere in between)
- IV. Exercise  to ensure the business specifications have been implemented for each window
 1. fields are required or optional as defined
 2. user's access and restrictions are defined by role and adhered to
 3. data is defaulted/not defaulted as defined
 4. data is displayed as defined
 5. edits and validations are exercised as defined
 6. error messages make sense (inform user what to do, what information is required, display reasonable warnings)
 7. date fields are Y2K compliant - last page(s) of each window document identifies test category(s)
- V. Use the problem tracking sheet to document the business specifications that have not been properly implemented
- VI. Obtain two test signons; one signon for each role:
 1. Supervisor/Manager
 2. Account Manager

Note: Roles determine accessibility to accounts and the ability to create new deals/update existing information.
- VII. Signon as a Supervisor/Manager and
 1. Create a New Deal
 - Step One Initiate new Deal setup
 - Step Two Enter Deal information
 - Step Three Setup a Borrower
 - a) enter details and link to GES Customer
 - b) create F/T Instructions
 - c) create Contacts
 - d) create Fee Schedules
 - Step Four Create the Investor Group
 - a) create multiple F/T Instructions
 - b) create Contacts
 - Step Five Create Multiple User Defined Contact Groups
 - Step Six Review Deal, Borrower, Investor and Contact Group information
 2. Create a New Deal (Do not setup Borrower, Investor or Contact Group information)
 - Step One Initiate new Deal setup
 - Step Two Enter Deal information
 - Step Three Review Deal information



Pre-User Acceptance Test Script and Guidelines

VII. CONTINUED Signon as a Supervisor/Manager and

3. Update an existing Deal

- Step One Select the Deal
- Step Two Review/Update Deal Info
 - a) update the Deal Name
 - b) change one or more of the Role Assignments
- Step Three Review/Update Borrower Information
 - a) clear GES Data and link to another GES Customer
 - b) update the Borrower Name & Address fields
 - c) change the SIC &/or EAC
 - d) add/change/approve F/T Instructions
 - e) add/update Contacts
 - f) add/update Fee Schedules
 - g) add/update Fee Payment History
- Step Four Review/Amend Investor Information
 - a) add/delete Investors from the Investor Group
 - b) add/update/approve F/T Instructions
 - c) add/update Contacts
- Step Five Review/Amend User Defined Contact Groups
 - a) add/delete Contact Groups
 - b) add/delete Investors
 - c) add/delete Contacts
- Step Six Review Pre-Defined Contact Groups
- Step Seven Review updated information is refreshed and properly displayed

VIII. Signon as an Account Manager and, **for one of your deals**

1. Complete the creation of a New Deal

- Step One Setup a Borrower
 - a) enter details and link to GES Customer
 - b) create F/T Instructions
 - c) create Contacts
 - d) create Fee Schedule
- Step Two Create the Investor Group
 - a) create multiple F/T Instructions
 - b) create Contacts
- Step Three Create Multiple User Defined Contact Groups
- Step Four Review New Deal, Borrower, Investor and Contact Group information

2. Update an existing Deal

- Step One Select the Deal
- Step Two Review/Update Deal Info
 - a) change one or more of the Role Assignments



Pre-User Acceptance Test Script and Guidelines

VIII. CONTINUED Signon as an Account Manager and, **for one of your deals**

2. CONTINUED Update an existing Deal

Step Three Review/Update Borrower Information

- a) update the Borrower Name & Address fields
- b) change the SIC &/or EAC
- c) add/change/approve F/T Instructions
- d) add/update Contacts
- e) add/update Fee Schedules
- f) add/update Fee Payment History

Step Four Review/Amend the Investor Information

- a) add/delete Investors from the Investor Group
- b) add/update/approve F/T Instructions
- c) add/update Contacts

Step Five Review/Amend User Defined Contact Groups

- a) add/delete Contact Groups
- b) add/delete Investors
- c) add/delete Contacts

Step Six Review Pre-Defined Contact Groups

Step Seven Review updated information is refreshed and properly displayed

Step Eight Ensure Deal Information cannot be updated

IX. Signon as an Account Manager and, **for a deal where you have no role**

Step One Select the Deal

Step Two Review Deal Info

Step Three Review Borrower Information

- a) Details
- b) F/T Instructions
- c) Contacts
- d) Fee Schedules
- e) Fee Payment History

Step Four Review Investor Information

- a) Investor Group
- b) F/T Instructions
- c) Contacts

Step Five Review User and Pre-Defined Contact Groups

- a) Contact Groups
- b) Investors
- c) Contacts

Step Six Ensure information is only displayed in inquiry mode, not in update or add mode

X. Identify and document additional test scenarios for User Acceptance Testing to begin on 09/01/98

XI. Meet weekly, or as needed, with Committee to discuss testing results and share comments



EXHIBIT 3



User Acceptance Testing for Deal Management

Proposed UAT Schedule from November 5th through November 20th

This schedule is dependent upon a working test facility at 4 NY Plaza by November 9th, 1998.

Thursday November 5th, 1998 at 2:30 p.m. All Team Leaders, Janet, Lucy, Andrew, John, Ed, Anita, Hari & Shrini will attend a demonstration of A+ Deal Management functionality.

- Demonstration will be held at 1 Chase Manhattan Plaza, Conference Room C.

Monday November 9th, 1998 at 2:30 p.m. Team Leader UAT starts.

- Testing will be performed at 4 NY Plaza, Basement
- Test Coordinator assigned: _____

- ① Lucy D'Orazio
- ② Andrew Grieco
- ③ Jesus Sang
- ④ Gloria Javier
- ⑤ Chris Consomer
- ⑥ Margaret Swales
- ⑦ Dan Fischer
- ⑧ Chris Gould
- ⑨ Muniram Appanna
- ⑩ Ronald Potter

Tuesday November 10th, 1998 at 2:30 p.m. Team Leader UAT continues.

- Test Coordinator assigned: _____

Thursday November 12th, 1998 at 2:30 p.m. Complete Team Leader UAT.

- Test Coordinator assigned: _____

Thursday November 12th, 1998 at 2:30 p.m. First two groups of Account Managers attend a demonstration of A+ Deal Management functionality. Anita or Ed will demonstrate AgentPlus.

- Demonstration will be held at 1 Chase Manhattan Plaza, Conference Room C.





User Acceptance Testing for Deal Management

Proposed UAT Schedule from November 5th through November 20th - continued

Monday November 16th, 1998 at 8:30 p.m. Account Manager UAT begins.

- Testing will be performed at 4 NY Plaza, Basement
- Team Leader assigned _____
- Test Coordinator assigned: _____

- ① Doris Mesa
- ② Amy Labinger
- ③ Steve McArdle
- ④ Linda Hill
- ⑤ Rose Clinton
- ⑥ Joselin Fernandes
- ⑦ Thierry Le Jouan
- ⑧ Donna Montgomery
- ⑨ Patricia Ciocco
- ⑩ Terri Williams

Monday November 16th, 1998 at 2:30 p.m. Account Manager UAT begins.

- Testing will be performed at 4 NY Plaza, Basement
- Team Leader assigned _____
- Test Coordinator assigned: _____

- ① Frank Giacalone
- ② Joseph Brusco
- ③ Chris Riggio
- ④ Mabel Chui
- ⑤ Andrew Stasiw
- ⑥ LuAnn DeStefano
- ⑦ Louella Johnson
- ⑧ James Tabois
- ⑨ Winslow Ogbourne
- ⑩ Jacqueline Reid





User Acceptance Testing for Deal Management

Proposed UAT Schedule from November 5th through November 20th - continued

Tuesday November 17th, 1998 at 8:30 p.m. Account Managers continue UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____

Tuesday November 17th, 1998 at 2:30 p.m. Account Managers continue UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____

Wednesday November 18th, 1998 at 8:30 p.m. Account Managers continue UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____

Wednesday November 18th, 1998 at 2:30 p.m. Account Managers continue UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____

Thursday November 19th, 1998 at 8:30 p.m. Account Managers continue UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____

Thursday November 19th, 1998 at 2:30 p.m. Account Managers continue UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____

Thursday November 19th, 1998 at 2:30 p.m. Teams 3 & 4, will attend a demonstration of A+ Deal Management functionality. Anita or Ed will provide demonstration.

- Demonstration will be held at 1 Chase Manhattan Plaza, Conference Room C.

Friday November 20th, 1998 at 8:30 p.m. Account Managers complete UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____

Friday November 20th, 1998 at 2:30 p.m. Account Managers complete UAT.

- Team Leader assigned _____
- Test Coordinator assigned: _____





User Acceptance Testing for Deal Management

At a Glance: Proposed UAT Schedule from November 5th through November 20th

This schedule is dependent upon a working test facility at 4 NY Plaza by November 9th, 1998.

UAT Preparation for Team Leaders

Date	Day	Time	Event	Place	Attendees
11/05/98	Thursday	2:30 p.m.	Deal Management Demo	1 CMP/8 th floor Room C	Team Leaders, Janet, Lucy, Andrew, John, Ed, Anita, Hari, Shrini

Week 1 – Goal: Team Leaders complete Test Script, Teams 1 & 2 Prepare for UAT

Date	Day	Time	Event	Place	Attendees
11/09/98	Monday	2:30 p.m.	Team Leader UAT starts	4 NYP/Basement	Team Leaders, Test Coordinator
11/10/98	Tuesday	2:30 p.m.	Team Leader UAT cont.	4 NYP/Basement	Team Leaders, Test Coordinator, Janet, Lucy, Andrew
11/11/98	Wednesday		Holiday		
11/12/98	Thursday	2:30 p.m.	Team Leader UAT done	4 NYP/Basement	Team Leaders, Test Coordinator
11/12/98	Thursday	2:30 p.m.	Deal Management Demo	1 CMP/8 th floor Room C	Acct Mgrs, Team Leader & Test Coordinator

Week 2 – Goal: Teams 1 & 2 complete Test Script, Teams 3 & 4 Prepare for UAT

Date	Day	Time	Event	Place	Attendees
11/16/98	Monday	8:30 a.m.	Account Manager UAT starts	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/16/98	Monday	2:30 p.m.	Account Manager UAT starts	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/17/98	Tuesday	8:30 a.m.	Account Manager UAT cont.	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/17/98	Tuesday	2:30 p.m.	Account Manager UAT cont.	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/18/98	Wednesday	8:30 a.m.	Account Manager UAT cont.	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/18/98	Wednesday	2:30 p.m.	Account Manager UAT cont.	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/19/98	Thursday	8:30 a.m.	Account Manager UAT cont.	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/19/98	Thursday	2:30 p.m.	Account Manager UAT cont.	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/19/98	Thursday	2:30 p.m.	Deal Management Demo	1 CMP/8 th floor Room C	Acct Mgrs – new group
11/20/98	Friday	8:30 a.m.	Account Manager UAT done	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator
11/20/98	Friday	2:30 p.m.	Account Manager UAT done	4 NYP/Basement	Acct Mgrs, Team Leader & Test Coordinator

EXHIBIT 4



25 May 1999

To: Edmund H. Louie

Audit Memo No. E99/074

From: James T. Larmon

Re: Agent Plus Replatforming Initiative - Cutover to Production Memorandum

General Audit has performed a System Development Audit of the Agent Plus replatforming initiative.

System Development Audits are pre-implementation reviews which entail an analysis of key controls of the system development process and an evaluation of application processing controls being built into systems. The purpose of these audits is to ensure that new systems are developed in a controlled manner and are adequately tested, that system functionality is accurate and complete and that automated controls are effective in mitigating risks in the production environment.

Based on our review of the system development of the Agent Plus Replatforming initiative, we are in concurrence with the decision to cutover to production with the start of business 1 June 1999. Audit testwork and observations of stress testing, user acceptance testing, parallel testing, disaster recovery testing, and proof and reconciliation did not reveal any control issues of such a significant nature that they would warrant postponement of the event.

We wish to thank the CS&A Commercial Credit systems team and the Loan and Agency Services operations team for their cooperation during our System Development Audit.

cc: Janet M. Belden
Francis X. Burnes
Michael Campbell
Guy E. DeKnop
David R. Goldberg
Denis J. Goode
Suzanna Hammett
Bridget-Anne Hampden
Steven P. Hocevar
Anthony J. Laletti
James B. Lee
John L. Lewis
Richard F. Mangogna
Donna Matheson
William J. Moran
Daniel J. Nealis
Joseph A. Nocera
Michael E. Roemer
Steven L. Sheinheit

EXHIBIT 5

A+ Replatformed Agent Plus (v5.0) – What's New

Agent Plus Application – Overall New Functionality

- 1) Single SignOn for processing and viewing Chase Deals and Chase Bank of Texas Deals.
- 2) Separation of the front end, business logic, and the database (3-tiered architecture).
- 3) The ability to navigate anywhere in the application.
- 4) The ability to always know where you are in the application.
- 5) The ability to process transactions outside of 1CMP/8.
- 6) Technology upgrade to a more stable way of connecting to the database.
- 7) Upgrade of the database to Oracle 8.
- 8) Fully compliant/certified Y2K application using 4-digit years.
- 9) The use of a Y2K compliant Calendar Control to input/update any dates in the application.
- 10) Eliminates the use and remembering of function keys.
- 11) Timeout feature that forces the user to re-certify his/her userid and password after 15 minutes of inactivity.
- 12) Breakup of "client" information into Deal and Borrower information.
- 13) The use of ACF2 to validate a user's signon.
- 14) The use of referential integrity and database constraints to enforce data quality and data integrity.

Deal Management

Deal Info – New Functionality

- 15) The ability to see high level information on a selected deal.
- 16) The ability to see closed deals separate from active deals.
- 17) The ability to classify a deal by Financial Entity and not by the organization that an account manager belongs to.
- 18) The re-classification of the internal book transfer instruction from the deal level to the borrower F/T instruction level.
- 19) The ability to enter a free form description of a deal to help distinguish deal restructurings.
- 20) The ability to designate the Team Leader associated with the deal.
- 21) The ability for an account manager to manage both Chase Deals and Chase Bank of Texas Deals without having to have two separate signons.
- 22) The new edit requirements required to create a deal.
- 23) The ability for a Supervisor or Manager to change the Deal Name of a deal. This function use to be a System Administration function.

Borrower Information – New Functionality

- 24) The tightening of data integrity by never allowing a user to type in a GES UCN for a borrower or investor.
- 25) The ability to connect real-time to GES to retrieve GES and select customer information. Once a customer is selected, customer information is defaulted from GES on Agent Plus including the GES UCN.
- 26) The ability to refresh GES data for a borrower on every display of the Borrower Detail window.
- 27) The ability under certain criteria for a user to clear GES customer information because an incorrect GES UCN was selected.
- 28) The ability for the user to indicate the primary address of the borrower which will allow borrower contact address data to be defaulted.
- 29) The ability to indicate the SIC code of a borrower.
- 30) The tightening of data integrity by providing the user a list of valid EACs according to the fnen of the deal.
- 31) The ability to see an audit trail of all borrower F/T instructions including whom last changed the instruction and who last approved the instruction.
- 32) The new requirement that every borrower F/T instruction must have a Clearing Account and Borrower Account.
- 33) The ability to see a list of Borrower F/T Instructions and the associated approval status.

A+ Replatformed Agent Plus (v5.0) – What’s New

- 34) The ability to select account numbers only associated with the account type selected (i.e., ABA, UID, Participant #).
- 35) The ability to enter Borrower Contact information without first having to enter Borrower F/T Instructions.
- 36) The ability to see a list of Borrower Contacts and their associated roles and responsibilities.
- 37) The automatic insertion of the word “FAX” to every fax number – greatly improving the probability that a fax will be delivered.
- 38) The tightening of data integrity of contact information by requiring information based on the roles and responsibilities assigned to the contact.
- 39) The ability to correctly record Borrower Agency Fees.
- 40) The ability to enter a text description of an Agency Fee.
- 41) The ability to see an audit trail of the last user who updated a specific Agency Fee.
- 42) The ability to forecast Agency Fee Payments using the “In Arrears” option.
- 43) The ability to correctly terminate an Agency Fee.
- 44) The added restriction of who can delete or update Agency Fee detail and Fee Payment History based on the user’s role.

Investor Group Info – New Functionality

- 45) The separation of Borrower and Investor F/T Instructions – in the old application, both were done in one place.
- 46) The ability to see a list of the investor group for the deal – their short name and their long name.
- 47) The ability for an account manager to see the investor details of a selected investor – this information was not available to them in the old Agent Plus.
- 48) The ability to see the approval status of an investor F/T Instruction.
- 49) The ability to see an audit trail of an investor F/T instruction including whom last changed the instruction and who last approved the instruction.
- 50) The ability to enter Investor Contact information without first having to enter the Investor F/T Instruction.
- 51) The addition of 2 new roles/responsibilities for an investor contact as well as 6 additional roles/responsibilities for Chase and Chase Bank of Texas Contacts. No longer does an account manager have to create a User-Defined Managed Contact Group for the Loan Department, the recipient of CLAS Transmittals, LC Contacts, or PMA – these are now pre-defined managed contact groups.
- 52) A redesigned and more user-friendly way of viewing, defining, updating, and deleting user-defined managed contact groups.
- 53) The ability to view online the list of contacts associated with a pre-defined managed contact group.
- 54) The ability to see prime rate history for an investor (in Investor Maintenance).

Facility Maintenance – New Functionality

- 55) The ability to see a list of active facilities defined to the deal separate from closed facilities for the same deal.
- 56) The ability to see a for a list of facilities the current outstanding and available amount for each facility as well as detailed information (GES Facid, Admin Agent, Under Agreement Date, Cancel Date).
- 57) The synchronization of facility related terminology between GES and Agent Plus to make it easier for the account manager and the PMA to resolve discrepancies between facility information in GES and the same information in Agent Plus.
- 58) The ability to delete a facility under certain criteria – this function was not available in the old Agent Plus and had to be done by the Development Team.
- 59) The tightening of data integrity by never allowing a user to type in a GES Facility id for a facility.
- 60) The ability to connect real time to GES to select a facility from GES for a selected GES UCN. Once a facility is selected, facility information is defaulted from GES on Agent Plus including the GES facility id.

A+ Replatformed Agent Plus (v5.0) – What's New

- 61) The ability under certain criteria to clear GES Facility information because an incorrect facility was selected from GES.
- 62) The ability of the application to compare facility data between GES and Agent Plus and inform the user if discrepancies exist.
- 63) The ability to enter Shared National Credit information for a facility. This function used to be performed by the Development Team in the old Agent Plus.
- 64) The protecting of the Opening Line Amount of a facility once transactions have been saved against that facility. This field was open in the old Agent Plus causing settlement problems for the facility.
- 65) The re-classification of the facility Issue Date in the old Agent Plus to two new dates – the Credit Agreement Date and the Under Agreement Date.
- 66) The re-classification of the facility Cancel Date in the old Agent Plus to two new dates – the Estimated Maturity Date and the Cancel Date. The Cancel Date is now a system determined date instead of user entered.
- 67) The re-classification of the Borrowing Base amount from Deal level information in the old Agent Plus to Facility level information in the new Agent Plus.
- 68) The ability to select from a default list of facility ids when adding a new facility so that the facility full description can also be defaulted.
- 69) The ability to refresh GES data for a facility on every display of the Facility Detail window.
- 70) The re-classification of CLAS PRU and Account Number from Borrower level information in the old Agent Plus to Facility level information in the new Agent Plus.
- 71) The addition of new edit rules and data requirements to allow for future electronic transmission of CLAS transaction information to RDE.
- 72) A more user-friendly mechanism for entering, updating, and deleting of LC Fees, Facility Fees, and Commitment Fees.
- 73) The ability to see online the current or original pro-rata distribution among the syndicate members of a facility. To see the current pro-rata distribution in the old Agent Plus, the user had to run a report.
- 74) The ability for the user to save syndicate pro-rata distributions that do not add up to 100% because that information is not yet available to the account manager. In the old Agent Plus, system required that distribution must add up to 100% or the information could not be saved.
- 75) The ability to copy either the current or original syndicate pro-rata percentages from one facility to another. The old Agent Plus only allowed copying of original pro-rata percentages.

Replatformed Agent Plus (v5.0) – What's New

Transaction Management

Deal/Facility Select – New Functionality

- 76) A Windows Explorer approach for selecting a deal and facility in Transaction Management.
- 77) The ability to see high level deal and facility information so that the user correctly selects the right deal and facility to initiate a transaction or view transaction history. This includes displaying the current facility amount, outstanding amount, available amount, and LC Line amount of a selected facility.

Transaction Initiation – New Functionality

- 78) The added restriction of who can and cannot initiate and process transactions based on the user's role. In the current Agent Plus, a user who had no authority to initiate a transaction was allowed to enter a transaction but eventually was prohibited from saving the transaction. In the new Agent Plus, this user would not even be allowed to enter a transaction.
- 79) The inability for a user to initiate a transaction if the selected deal has no approved Borrower F/T Instructions.
- 80) A customized transaction initiation window based on the transaction type and pricing type selected. In the old Agent Plus, for example, one screen was used for all the different pricing types for the Drawdown transaction. This caused confusion as to what data elements were required.
- 81) The split of the Drawdown function in the old Agent Plus to two functions in the new Agent Plus – New Drawdown and Additional Drawdown.
- 82) The requirement that every transaction created as a valid transaction sequence number. In the old Agent Plus certain transactions were always assigned a zero sequence number, which causes confusion for the account managers.
- 83) The ability for the application to assign a default note-id for a New Drawdown transaction. In the old Agent Plus, the formula for creating a Note-id had to be done by the user.
- 84) The ability for the application to determine whether CLAS information is required for a transaction based on whether Chase (or Chase Bank of Texas) is an active syndicate member.
- 85) The ability to enter/update CLAS information in the Additional Drawdown, Paydown, Maturity/Conversion/Rollover, Fee or Interest Accrual, and Rate Setting transactions. In the old Agent Plus this information could only be entered/updated in the original Drawdown transaction.
- 86) The ability to easily edit the contents of the extra message text portion of a fax message.
- 87) The ability to insert the contents of a text file in the extra message text portion of a fax message.
- 88) The ability to print the contents of the extra message text portion of the fax message.
- 89) The ability to easily insert a spreader report in the extra message text portion of a fax message. In the old Agent Plus, the user has to type in the structure '^FILE C:\AP_TEMP\SESSION.BRK^'.
- 90) The ability to view facility outstandings in 3 categories – loan, LC, and other. In the old Agent Plus, these three categories were lumped into one amount.
- 91) The ability to select only approved Borrower F/T Instructions during a transaction. With a complete description of the F/T to make it easier for user to select the appropriate F/T.
- 92) The ability for the application to verify that the total outstandings at the time of drawdown does not exceed the Borrowing Base Amount for the facility.
- 93) The ability for the application to verify that the total LC outstandings at the time of a LC drawdown does not exceed the LC Line Amount for the facility.
- 94) The ability for the application to automatically calculate the All-In-Rate for New Drawdowns, Rate Settings, and Note/Fee Parameter Change transactions. In the old Agent Plus, this field had to be entered by the user.
- 95) The ability of the application to default the Accrue From and Accrue To Date for Paydown, Fee or Interest Accruals, and Maturity/Conversion/Rollover transactions.
- 96) The split of the Paydown function in the old Agent Plus to two functions in the new Agent Plus – Paydown With Interest and Paydown Without Interest.
- 97) The ability to rollover/convert up to 25 existing notes, and the ability to create up to 25 new tranches for Maturity/Conversion/Rollover transactions. In the old Agent Plus, the limit is 6 existing notes and 6 new tranches.

A+ Replatformed Agent Plus (v5.0) – What's New

- 98) The ability to apply skim rates on Syndicate/Participant Sales transactions to Fed Funds and Money Market pricing types and LC Commission Fees. In the old Agent Plus, skim rates could not be applied to these pricing types and fees.
- 99) The ability for the application on a Facility Line Change transaction that reduces the commitment to zero to ensure that there are no loans and LCs outstandings and to set the Facility Cancel Date.
- 100) The ability for the application on a Facility Line Change or Syndicate/Participant Sales transaction to remind the user to notify the funding desk when Chase's position has changed.

Transaction Processing – New Functionality

- 101) The elimination of local processing of a transaction. All transaction processing now occurs on the Application Server. This allows remote users (i.e., users outside of 1CMP/8) instant ability to process transactions if their role permits it.
- 102) The systematic default of transaction processing parameters based on the transaction being initiated. In the old Agent Plus, these parameters had to be input by the user, which may be entered incorrectly.
- 103) The ability to easily insert the contents of a text file in the extra message text portion of a fax message.
- 104) The ability to view transaction output within the Agent Plus application. In the old Agent Plus, viewing transaction output was done in DOS mode.
- 105) The ability of the application to ensure critical Deal Management and Transaction Management data elements were entered before a transaction can be submitted for processing (a.k.a. Transaction Review). This enforces data integrity for subsequent transactions and prepositions Agent Plus to send transactions to the Loan Accounting System and the Funds Transfer System electronically.
- 106) The ability for the user to initiate another transaction, select another Deal/Facility, or go to the Activity Window immediately after processing a transaction.
- 107) The restriction by the application to not allow a user to submit the same transaction that is currently being processed.
- 108) The ability to see transaction processing details (using the Job Queue Window) including who submitted the transaction for processing, job execution timings, status of the job, and the activity id associated with the transaction.
- 109) The ability to view a log of a transaction submitted for processing. This gives the user the ability to see what step failed in transaction processing if the status of a job is 'failed'.
- 110) The ability to see an audit trail of which user created, approved, released, or canceled transaction output.
- 111) The ability to view, modify, and print transaction output within the Agent Plus application. In the old Agent Plus, these functions were done in DOS mode.
- 112) The ability to save transaction output to a file.

Transaction History – New Functionality

- 113) The ability to easily distinguish non-standard messages and memos from all other transactions.
- 114) The ability to search by Transaction Effective Date.
- 115) The ability to view the Transaction Type associated with a transaction.
- 116) The ability to easily determine whether or not a selected transaction can be updated or re-processed or deleted.
- 117) The ability to directly get to the activity associated with a processed transaction. In the old Agent Plus, the user has to write down the activity id associated with the transaction before retrieving the activity.
- 118) The ability of the application - on user request to delete a transaction – to delete all activity associated with the transaction. In the old Agent Plus, the activity associated with the transaction would remain orphaned.

A+ Replatformed Agent Plus (v5.0) – What's New

Reporting – New Functionality

- 119) The use of Oracle Reports as the reporting tool.
- 120) The consolidation of the Reporting function. In the old Agent Plus, report capability was scattered throughout the application.
- 121) The ability to view a description of a report before generating the report.
- 122) The ability for certain reports to generate based on financial entity.
- 123) The addition of several new reports frequently requested by the user. These reports were run by the Development Team in the old Agent Plus. Now the user has the ability to run it themselves.
- 124) The ability to view the generated report in Microsoft Word.
- 125) The ability to save the generated report to another file.
- 126) The ability to print generated reports to a Laser Jet printer.
- 127) The ability to import the generated report into Microsoft Excel.
- 128) The ability for the user to perform other functions within Agent Plus while the report is being generated. User is notified upon completion of the report.

Projects in the Agent Plus Application Work Queue Implemented

- 129) Project # 03: Agent Plus Front End (Forms 3.0) Upgrade
- 130) Project # 04: Password Encryption/Decryption
- 131) Project # 05: Version Control For Agent Plus Software
- 132) Project # 14: Automate Synchronization Between Agent Plus and GES
- 133) Project # 20: Client vs. Deal Information
- 134) Project # 22: Single Signon to Agent Plus (Chase and Chase Bank of Texas)
- 135) Project # 27: Incorporate edit/validation checks for LC sublimits
- 136) Project # 29: Individualized investor breakdown
- 137) Project # 31: Borrowing Base Certificates
- 138) Project # 32: Ability to create non-standard F/T instructions for the borrower
- 139) Project # 33: Investor Table Cleanup
- 140) Project # 36: Do Not Allow Duplicate Short Name Descriptions For Client, Investor, Facility
- 141) Project # 39: Add New Fields to the Facility Window
- 142) Project # 40: Enhance Outstandings Report
- 143) Project # 44: Hardcode the word 'FAX' on the fax # field of the Borrower/Investor Contact
- 144) Project # 45: Defaults for F/T Instruction Window
- 145) Project # 46: Enhance Search Capabilities for Deal/Borrower/Investor/Facility/Activity
- 146) Project # 47: Portfolio Reporting at the Deal Level
- 147) Project # 49: Allow Dates to be non-business dates
- 148) Project # 53: Default the Obligor Grade and the Facility Grade
- 149) Project # 58: Borrower Notification of Modifications (non-standard message)
- 150) Project # 60: Provide the ability to access only the "current" investor group
- 151) Project # 62: Maturity Date Setting when the Facility commitment is reduced to zero
- 152) Project # 64: Allow update of Transaction Sequence for non-standard messages
- 153) Project # 71: Allow multiple operating accounts for a borrower
- 154) Project # 76: Synchronize Credit Grade with GES
- 155) Project # 79: Enhancements to the Forecast Report